

THE GEORGE WASHINGTON UNIVERSITY
Washington, D.C.

**MINUTES OF THE REGULAR MEETING
OF THE FACULTY SENATE HELD ON
MARCH 14, 2003 IN THE ALUMNI HOUSE**

Present: Vice President Lehman, Registrar Geyer, Parliamentarian Pagel; Deans Frawley, Futrell, Southby and Tong; Professors Briscoe, Cordes, Divita, Duff, Friedenthal, Gallo, Griffith, Gupta, Haque, Kennedy, Maggs, Robinson, West, Wilmarth, and Zaghloul

Absent: President Trachtenberg, Harding, Phillips, Williams, Whitaker, and Young; Professors Balla, Castleberry, Cawley, Glascock, Harrington, Klarén, Paratore, Pelzman, Sell, Simon, and Wirtz

The meeting was called to order by Vice President Lehman at 2:15 p.m.

APPROVAL OF THE MINUTES

The minutes of the meeting held on February 14, 2003 were approved as distributed.

INTRODUCTION OF RESOLUTIONS

No resolutions were introduced.

REPORT ON THE COLUMBIAN COLLEGE OF ARTS AND SCIENCES

William J. Frawley, Dean of the Columbian College of Arts and Sciences, presented a Report on the current state of the College as well as its future directions. He began his presentation by comparing and contrasting statistics about Columbian College for the past ten years, noting that in some ways the College has not changed, but that in other important ways, it has. Over this period there has been a substantial increase in enrollment and in double majors; the law school acceptance rate for graduates has also risen. There have also been significant increases in faculty [including minority faculty], and in named professorships. The budget has increased substantially, from some \$33 million in 1992 to \$53 million presently. Dean Frawley then compared the total enrollment of the College with other Schools of the University at the undergraduate and graduate levels.

Dean Frawley then outlined five directions for the future of the College, which he said were the result of taking into account all stock-taking documents that have appeared in the College, including strategic plans and department updates. Dean Frawley said he also has initiated a series of ongoing conversations with department chairs concerning the College's future. The result of these deliberations has been agreement on five core areas: (1) promoting challenge, discovery, engagement, and focus in the undergraduate experience; (2) providing visible, well-defined, and well-supported programs at the graduate level; (3) investing in the academic environment for and accomplishments of faculty; (4) providing alternative deliveries and tools for Self Management via technology;

and (5) improving the College's internal and external position through efficient, effective, and principled conduct of business.

Dean Frawley then briefed the Senate in detail on each of these areas. In the area of Undergraduate Excellence, 50 new Dean's seminars for 1,000 students will be offered, and freshman advising will be restructured. New opportunities for undergraduate research will be made available, and integrated core competencies will be fostered by the freshman writing seminars and a related program focusing on Writing in the Disciplines. Multi-cultural competency will also be encouraged by means of the establishment of global living-learning communities organized around content areas of international peace. Also in the near future for the College is a strategic initiative to engage sophomores and juniors, with a view toward ultimately providing a curriculum for this group which would include fellowships.

In the area of Graduate Excellence, Dean Frawley noted that the College has inventoried, reallocated, increased, and extended graduate support packages, including travel support. This initiative is in addition to funding provided by the Vice President for Academic Affairs. In the area of Selective Excellence, the College is supporting new graduate teaching assistants (GTA's) for Hominid Paleobiology, Political Science, History, and Public Policy. In a second area of Selective Excellence, GTA's have been reallocated for Museum Studies, Anthropology, Women's Studies, Forensic Sciences, and Sociology. A Science initiative is also underway and support for conferences in Museum Studies, and Psychology will be provided. An International Writer's series in conjunction with local embassies is also planned.

Dean Frawley continued by describing the College's investment in academic environment and accomplishment for faculty. Nearly 30 searches have been initiated, and of this number approximately 18 are tenure-track, and 23 non-tenure track. The College has been successful in recruiting its first choice candidates, and this success is due in part to the provision of start-up in all cases, even in the humanities and the social sciences. At least two senior appointments will also be made.

Another major initiative in the College has been the development of the research/teaching environment. Under the Columbian Research Fellow program, four positions have been afforded funds for a complete release from teaching in order to allow faculty to complete research projects. Faculty Travel Support has been increased by 50%, as have Junior Scholar Incentive Awards. The College is also working very hard to provide salary support for major fellowship winners.

In order to further the University's goal of becoming a first class research university which attracts the very best faculty, Columbian College has established a Science Advisory Committee which meets regularly with the Dean to discuss issues such as facility development, equipment plans, the curriculum, and grant planning and management; the possibility of establishing a unified science major is under consideration as well. The College hopes to increase its press visibility by providing a series of background briefings by science faculty on Saturdays. Finally, the College is working very hard to generate external funds and encourage the faculty to generate and follow up on funding proposals. Toward that end, the College will host a visit by the National Endowment for the Humanities (NEH) in April. Discussions are also underway with the National Science Foundation

(NSF) in an effort to establish agency fellowships, where NSF directors would exchange their duties with faculty to come to GW to teach for 6 months.

In the area of Technology, Dean Frawley said that the College is working to develop an environment that maximizes its ability to responsibly manage its own affairs. One effort underway is a working group on visualization of data spearheaded by Professor Briscoe which seeks to use research technology in an instructional context. Another area to which the College is committed is in its use of administrative technology. Dean Frawley took a few moments to preview for the Senate the new website which has been developed and will be launched soon to promote a more academic environment in the College. He also previewed the new "Digital Shelf" which gives users quick access to virtually any sort of information about the College, from bylaws and minutes of the Council of Chairs meetings, to details of scholarly proposals and achievements. Taken together, these technology initiatives will provide the College with tools necessary for it to achieve Strategic Excellence.

Next, Dean Frawley reviewed the College's move from a hierarchical structure to one that utilizes distributed management. Two new Assistant Deans have been hired, and the College hopes to establish a new position for an Executive Director for Advancement. (A copy of Dean Frawley's powerpoint presentation is attached.) In terms of new units, the College anticipates the creation of a school of Public Policy. The establishment of an Organizational Sciences program and a Center for Language Teaching and Learning are also under development.

Dean Frawley then described new relationships with several local embassies, including assistance in obtaining language teachers by the Italian Embassy, participation by the Indian Embassy in the International Writers' Series, and development of a major conference on Living with Terrorism in conjunction with the University of Haifa.

In concluding his Report, Dean Frawley outlined what he termed the College's twelve challenges. These challenges lie in the undergraduate, graduate, and faculty areas as well as the manner in which the College is managed and conducts business. (Dean Frawley's Report is attached.)

ANNUAL REPORT ON THE COLLEGE OF PROFESSIONAL STUDIES

Donald R. Lehman, Executive Vice President for Academic Affairs, distributed the first annual report on the College of Professional Studies (CPS), and gave an overview of its growth and development since its inception. He began by reminding the Senate that the creation of the CPS had been approved by the GW Board of Trustees in October, 2000, and its core mission is to make available lifelong learning opportunities through the offering of associate, bachelor, and master's degrees in Professional Studies. The College launched its first year of operation in 2001-02.

Vice President Lehman told the Senate that one of the first tasks accomplished was to establish the governance structure of the College, which was done by formation of a Dean's Council composed of one tenured faculty member from, and elected by, faculty of each College or School of the University that participates in or may be affected by off-campus program offerings; three chairs of departments with faculty participating in off-campus program offerings [appointed by the Dean of the CPS] and three non-tenure

accruing faculty from among those participating in the off-campus programs or current offerings of the CPS, also appointed by the CPS Dean. Members of the Dean's Council are appointed so that members serve staggered three-year terms.

The Dean's Council held its first meeting in January, 2002, and has met monthly from September to May of each year since that time. The attendance rate has been very high at these meetings, Vice President Lehman added, approaching the 85 to 90% rate. The Dean's Council also elected Professor Christopher Sterling to serve as Chair.

Among official actions taken by the Dean's Council was the development of bylaws for the College. These are now complete except for a section still under consideration dealing with the issues of appointment and promotion of any faculty who are directly associated with the CPS. [Membership of the Dean's Council is listed in Appendix A of the Report, and the CPS Bylaws are set forth in Appendix B.]

An important development in the administration of the College is the recent acceptance of a report submitted by the CPS to the Middle States Commission in November. Acceptance of this report by the Commission at its meeting in March, 2002, indicates that the CPS is now included within the scope of GW's accreditation. CPS Dean Roger Whitaker also appointed two Associate Deans after a national search and these individuals are looking at new program possibilities, working with external audiences, and trying to achieve the ultimate goals of the CPS – to move from an open enrollment approach in GW's off-campus programs to one where the University collaborates and forms alliances and partnerships with external organizations. [The College of Professional Studies Description and Staff appears in Appendix C of the Report.]

The CPS also continues to carry out the function of its predecessor, the Office of Academic Development and Continuing Education and has assumed oversight of the Graduate Education Centers at Virginia Square, Hampton Roads, and Alexandria.

Vice President Lehman then discussed the financial picture of the CPS contained in Appendix D of his Report. The overall revenue of the CPS for FY '02 exceeded projections by some \$1.9 million, and the net figure of revenues after expenses for that same period was some \$1.25 million above the \$3.68 million budgeted. Thus, the CPS produced very good results for its first year of operations.

Vice President Lehman then briefly summarized some of the elements of the section of the Report entitled "Academic Programs" and then moved on to describe pending issues for the CPS. One of these issues is faculty resources, as both the Faculty Senate and the Board of Trustees specified at the time the CPS was created that the College would have no tenured faculty. However, he added, it will not be possible to staff the College's programs entirely with part-time and temporary faculty, so the question of what alternative career paths will be open to the CPS faculty arises, as well as the criteria to be used to select, compensate, and promote them. These questions are under active consideration by the College's staff and its Dean's Council.

Another pending issue, he continued, has to do with the issue of the degree of flexibility to be applied in admissions and the assessment of prior learning. The question of whether or not to give some sort of credit for work experience is a very difficult one, he

added, and while the Dean's Council is discussing the issue, no decision on this has yet been reached.

In conclusion, Vice President Lehman described some of the very exciting prospective partnership opportunities for the CPS outlined in the Report, which include possible curricular co-development with partner organizations such as Virginia Tech (VPI&SU), the Graduate School of the U.S. Department of Agriculture, the Navy Fleet Information Warfare Center (FIWC), D.C. Metropolitan Area Law Enforcement Agencies, the National Air Traffic Controllers Association (NATCA), and the National Football League Players Association (NFLPA). (The Report is attached.)

Professor Wilmarth inquired about the status of GW Solutions, and Vice President Lehman told the Senate that it is a for-profit entity which is completely independent of the CPS, and the books are kept completely separate. He added that originally, non-credit activity was housed in the Center for Professional Development, and all of these programs were moved into GW Solutions, along with the Conference and Events Management group, and GW TV. It was anticipated that GW Solutions would establish broad alliances and partnerships for the University, except its specific offerings would be non-credit only.

The establishment of GW Solutions came at an unfortunate time, Vice President Lehman continued, in that corporations which usually are the primary clients for non-credit education have cut back their spending in this area. In this market, he said, clients are interested in credit, rather than non-credit programs.

Professor Griffith asked Vice President Lehman to estimate the size of the subsidy for GW Solutions this year, and Vice President Lehman responded that he did not have this information with him, but would be happy to provide it. Although the budget approved for GW Solutions projected a deficit for the first two years of operation, with a breakeven budget in 2004, the loss in 2002 approached \$2.8 million. The projected deficit for the current year is comparable, he added, even though the deficit in the second year of operation was projected to be smaller. In response to this development, Dean Whitaker, who is also the CEO of GW Solutions, has taken significant cost-cutting measures which include reductions in staff. He has been working closely with the Board of Directors, which includes three members of GW's Board of Trustees, to ensure that GW Solutions will be able to run at a breakeven or better level by June 30, 2004.

Professor Briscoe asked about the fate of the Conference and Events Management part of GW Solutions, and Vice President Lehman said that this had been eliminated as it was a cost center for the University which was not bringing in a positive return.

ANNUAL REPORT ON THE RECRUITMENT AND APPOINTMENT OF WOMEN FACULTY AND FACULTY OF COLOR

Vice President Lehman distributed the Report and noted with his thanks that it was prepared by Ms. Peggys Cohen, Assistant Vice President for Institutional Research, and her Associate Director, Joe Knop, as well as Ms. Annie Wooldridge, Assistant Vice President for Faculty Recruitment and Personnel Relations.

Vice President Lehman began by saying that again this year, the University has had significant success in recruiting women faculty and faculty of color. He then turned to highlights of the Report.

Last year, the University conducted 265 authorized faculty searches, 158 of which were national searches for regular faculty and 67 modified searches for visiting faculty. A total of 158 hires were made, consisting of 99 regular full-time, and 59 visiting faculty. Some 28.3% of the new hires in full-time faculty positions, and 16.9% of hires in new visiting positions, were minority candidates. This year, for the first time, two Native Americans are among the newly-hired faculty.

Over a fourteen year period, between Academic Years 1988-89 and 2002/03, the total number of faculty members has increased by 187, or approximately 20%. Overall, the number of white male faculty has decreased somewhat, while there has been a significant increase in white female faculty, for a net increase of 87. An additional 33 black faculty have been hired, in a 2 to 1 female to male ratio. In terms of Asian faculty, 66 additional faculty have been hired, with more than twice as many men as women. Eleven Hispanic faculty have also been added, all women. In sum, a total of 112 faculty have been added in the minority categories, and the ratio of men to women faculty is roughly equal in the minority hires.

Vice President Lehman then briefly reviewed the data contained in the report concerning faculty promoted and awarded tenure in Table 5 of the Report.

In terms of faculty retention, over the period from October 2001 through September, 2002, 51 regular, active-status faculty left the University for a variety of reasons, including a significant number who retired, and a number who completed temporary appointments of one type or another. A certain number were not re-appointed, and some moved to part-time service for various and sundry reasons. A very, very small number of faculty were denied tenure. Of the faculty of color who left the University, all 7 resigned.

In examining the University faculty as a whole, 67% of the regular, active-status faculty are men, however, they occupy 73% of the tenure-track positions, and 55% of the non-tenure-track positions. Women comprise 33% of the faculty and hold 27% of the tenure or tenure-track positions, and what is certainly a disproportionate number of the non-tenured faculty positions, namely 45%. The senior faculty in the Medical Schools actually consist currently of 22% women and 78% men, no change from last year. The senior faculty in the non-medical schools consist of 25% women and 75% men, a slight increase over the percentage of women over last year. An interesting point, also made last year, was that the distribution of junior faculty in the Medical and non-medical schools also differs. The junior faculty in the Medical Schools consists of 56% women and 44% men, reflecting at some level that many more women are going into medicine and related areas. Junior faculty outside the Medical Schools currently consist of 48% women and 52% men. Looking at senior faculty in both the Medical and non-medical schools, approximately 14% are people of color, while 25% of the Medical junior faculty and 23% of the non-medical faculty are not.

Turning to the percentages of faculty by group, Vice President Lehman said that the percentage of Asian faculty has not increased in recent years. For a number of years, the number of black faculty has remained constant, but that percentage is now moving up. The

percentage of Hispanic faculty has also remained constant. Vice President Lehman added that he, the President, and Ms. Wooldridge had recently met with Hispanic faculty at the University in order to discuss recruitment efforts. As a direct result of this meeting, the University will be initiating both short and long term strategies to improve recruitment practices.

Vice President Lehman concluded his report by noting that the bi-annual Salary Equity Review Committee had been constituted and would begin meeting very soon, with Professor Michael King from the Chemistry Department chairing the group. Ms. Cohen and Wooldridge will also work on this project, and Professor Philip Wirtz will serve as statistical consultant. Vice President Lehman then commended the entire Report to the Senate's scrutiny and said he would be happy to answer questions.

Professor Griffith asked about compliance with the Faculty Code-mandated proportion of tenure-track to non-tenure-track appointments over the total faculty population at the University, consisting of 1061 faculty members, with 700 tenure or tenure-track, and 361 non-tenure-track. Vice President Lehman reminded the Senate that both the Medical and Law Schools are exempt from the provisions of the Faculty Code with regard to the condition that no more than 25% of the faculty be in non-tenure track positions. He added that the overall numbers could therefore be misleading. He said it is true that the School of Public Health and Health Services as well as the Graduate School of Education and Human Development were not in full compliance with the Code, and that one other School was right on the edge of compliance, but that the other Schools were compliant. Professor Robinson asked if an overall number could be given, and Vice President Lehman replied that the University does keep track of these statistics but he did not have them handy in connection with the recruitment report. He then said he thought that, overall, the University has 552 tenure-track and 175 non-tenure track faculty [for a total of 727] excluding the Medical and Law schools, or about 25% contract faculty. On the basis of the numbers presented, Professor Gupta said he thought that the percentage of non-tenure-track faculty was below the 25% level. Vice President Lehman then offered to obtain this information for the Senate, and said he would be happy to respond to e-mails on the subject. (The Report is attached.)

UPDATE ON THE WRITING PROPOSAL

Professor Paul Duff, Chair of the Educational Policy Committee (EPC) gave a preliminary report on the Academic Excellence Committee's Writing Proposal as follows:

In September, 2002, the Executive Committee of the Faculty Senate asked the EPC to examine the writing proposal put forth by the Academic Excellence Committee. The EPC began its examination of the writing proposal as soon as the school year began. A number of EPC members raised questions concerning the viability of certain elements of the proposal. Because of this and other concerns, the Committee thought it would be helpful to learn more about the development of the Writing Proposal. Our report on this will be listed in section 1 below. Following that, we will comment on the work of the Writing Task Force in section 2.

Although the EPC was troubled by the process, nevertheless, it is quite pleased with the work that the Writing Task Force has done this past year.

**I. The Writing Proposal of the Academic Excellence Committee
(Fall 2001-Spring 2002)**

The EPC spoke with Vice President Lehman and the three Columbian College of Arts and Sciences (CCAS) participants on the Academic Excellence Committee about the Academic Excellence Committee's Writing Proposal.

Based upon these conversations and discussions that followed, the EPC found the following procedural problems with the development of the Academic Excellence Committee's Writing Proposal:

- 1) The CCAS faculty had insufficient opportunity to choose its representatives to the Academic Excellence Committee. Because the Academic Excellence program was rushed and there was insufficient time for the CCAS faculty to elect representatives, that College's representatives to the Committee were chosen by the CCAS Dean's Council. This procedural issue is especially noteworthy since CCAS is the School that would be most affected by any change in the writing program.
- 2) There was no attempt (by the Academic Excellence Committee or the administration) to judge the effectiveness of the current freshman writing program before suggesting that it be replaced.
- 3) The report was produced without consultation with outside experts in the field of writing and composition. Nor did anyone consult with the Chair of the English Department, the Deputy Chair, the Director of the Writing Program, or the Director of the Writing Center. The failure to consult with experts in the field is significant since English Composition is a serious academic discipline with a significant body of scholarly literature. The failure to consult with the appropriate persons in the English Department is particularly troublesome since that department would be likely, either directly or indirectly, to help implement any writing program.
- 4) The 1999 WAC (Writing Across the Curriculum) proposal put forward by the GW English Department was ignored. This proposal addressed many of the same concerns as the Academic Excellence Committee's proposal. Vice President Lehman informed the EPC that he was unaware of the existence of the 1999 WAC proposal. (Upon investigation, Vice President Lehman discovered that the former Dean of CCAS did not send this proposal forward to the Council of Deans as he had indicated he would to the EPC.) Nevertheless, if the English Department had been consulted during the deliberations of the Academic Excellence Committee, the existence of this proposal would

have been uncovered. The Academic Excellence Committee would then have had the benefit of that earlier proposal.

- 5) There was some confusion (at least among the CCAS representatives of the Academic Excellence Committee) about the mission of the Committee *vis-à-vis* the Writing Proposal. Some representatives were under the impression that the proposal was a first draft that would be further discussed by the faculty (in which case, the lack of consultation with experts in English Composition is less problematic). But others thought that the writing proposal would go directly to the curriculum committees of the various schools when it left the Academic Excellence Committee. Further clarity on this should have been provided to the Committee.
- 6) There was also confusion among the CCAS representatives to the Academic Excellence Committee about their freedom to discuss the writing proposal with other members of the university community while it was under discussion. Although some felt that they were permitted to speak about the Committee's activities in general terms, overall most thought that the Committee's deliberations were to be kept secret.

As a result of the way that the proposal was generated, there was considerable suspicion among faculty when the Academic Excellence Committee's Writing Proposal was finally made public. Faculty suspicion was intensified by the announcement that the Writing Program would be launched in the fall of 2003. It is the EPC's opinion that a great deal of energy will, as a result, have to be put to the task of allaying such faculty suspicion before the program is fully implemented.

Concluding Comments on the Process:

Since the faculty of the university are those who are ultimately responsible for the curriculum of the university as well as for implementing and teaching any writing program, it is necessary that faculty be adequately included in the planning of new curricula. It is also vital that such planning processes be as transparent as possible.

II. The Task Force (Fall 2002-Spring 2003)

Following the announcement of the writing proposal by the Academic Excellence Committee, Vice President Lehman convened a Task Force whose mission was to implement the proposal. Included on the task force were three members of the English Department (including the Deputy Chair and the Director of the Writing Center) and a representative of the EPC. The Task Force was immediately divided into three committees. Two of the committees dealt with curricular matters. One of these curricular committees

was charged with the first year program, the other, the writing component for sophomores and juniors.

When the Task Force began its work, it was unclear, at least to some of its members, what its specific task was. Did "implementation" mean closely adhering to the proposal that the Academic Excellence Committee had created? How much revision was desirable or possible? After the first few meetings, it became clear that the majority of the Task Force thought that some parts of the Academic Excellence proposal were either undesirable or unworkable. Since that time, the Task Force took it upon itself to rewrite the proposal to the extent that it deemed necessary.

Because of the rapid progress of the Task Force (which insured the obsolescence of at least some parts of the original proposal) the Educational Policy Committee thought it would serve no useful purpose to examine in any detail the proposal that Academic Excellence Committee had produced. Instead, the EPC decided to follow the progress of the Writing Task Force.

A summary of the Task Force's proposed Freshman writing course follows:

University Writing 20

- Required of all students
- Limited to 15 students or fewer
- Taught by Full Time faculty (to the extent possible)
- Focus on academic writing
- Framing questions
- Constructing arguments
- Using evidence
- Focus on revision
- 25-30 pages of finished writing developed through pre-draft preparation and drafts; at least 70% of final grade based upon written work
- Rhetoric handbook will also be employed

Professor Duff concluded by saying that, overall, the Educational Policy Committee was very pleased with the description of the first year course that the Task Force produced. The EPC thought that the proposal was well thought out and well crafted. It was also pleased that the proposal emphasized critical thinking as well as writing and that the Task Force proposal set a fixed amount of writing but, nevertheless, it still allowed some room for flexibility among the individual sections.

Professor Kennedy asked how instructors and course content would be chosen for these writing sections, and Vice President Linebaugh said that had not been fully determined to his knowledge. Vice President Lehman said that hopefully, within a week an acting director and an acting deputy director would be appointed, and these faculty would hire the writing seminar instructors. The goal is to hire only full-time faculty. A total of 700 students selected randomly, will be enrolled in the new course, 300 during the fall term, and

400 in the spring term. Each section will have a maximum of 15 students with the possibility that some sections will have only 12 students.

Professor Griffith asked Professor Duff to tell the Senate what the process would be from this point forward. He added that he had never seen such a top-down proposal come to the faculty, changing coursework that is essentially under its direction. Though he said he was unclear on the details, it was his understanding that the new writing program would not be part of the English Department but would somehow be an independent, free-standing sort of organization. Professor Duff confirmed that the writing program would not be housed in the English Department, but the directors would report to the CCAS Dean. He added that the current proposal is simply for a pilot program, so it will only go to the curriculum committees of the various colleges. Vice President Lehman added that once the whole program is put together, it will include a segment on writing across and within disciplines at which point it would be overseen by an elected advisory board. Professor Duff then said that a second subcommittee is currently investigating the sophomore and junior "writing in the disciplines" segment of the program.

Professor Gupta said that he had read The Hatchet article about the writing program the day before and asked if the CCAS Curriculum Committee and faculty as a whole did not have to approve a course to be instituted in Fall, 2003, as currently English 10 and 11 are part of the General Curriculum Requirements (GCR), and the new course would either replace them [or students would have to take both sets of required courses]. Professor Duff said that he thought initially that students taking the writing courses in the pilot program would be exempted from the current composition requirement by their dean. Ultimately though, he added, CCAS faculty will have to vote on the new program, as it is part of the GCR. Vice President Lehman confirmed the pilot nature of the program for Fall, 2003 and said that work is underway to supplement the main program description with model syllabi which would be distributed to the five undergraduate schools, as curriculum committees in those schools will all have to approve the writing program as well.

Professor Cordes asked how the program would be formally evaluated. Vice President Linebaugh said that details have not been finalized, but that assessment would be ongoing. Professor Robinson asked when the first assessment would be done, and if the Writing Task Force would still be meeting prior to the time the faculty is asked to approve the new program. Vice President Linebaugh confirmed that students randomly selected for the program would be assessed at the beginning of the Fall, 2003 semester, and that the students would be followed through their years at the University in what the Vice President termed a vertical curriculum assessment. Vice President Lehman confirmed that the Writing Task Force would continue its work next year, and added that he expected to have the model syllabi ready for distribution to and approval by curriculum committees of the undergraduate schools shortly after the end of the spring break.

Professor Gupta then said that, although he was a born optimist, he wondered about the worst case scenario where the new writing program would prove a failure. He said he wondered when the faculty would know it was a failure. Vice President Lehman said it would really take four years to evaluate the new program and discussion followed by Professors Duff, Griffith, and Vice President Lehman on this point.

Professor Gallo asked what the experience with this sort of program has been at other schools. Professor Duff said that the Task Force had held a day-long retreat at which they heard from directors of quite similar programs at Duke and Missouri. Faculty at those institutions, he added, have found the programs beneficial. Vice President Lehman said that he thought what the faculty has to do is somehow institute a learning culture – the program is about writing, but it is also about core University values such as critical thinking and scholarship.

Professor Kennedy asked if the English Department's report could be made available and Professor Duff said he had not looked at it for some time, but that he would attach a copy to his subcommittee's final report.

UPDATE ON THE REGULATORY COMPLIANCE HELP AND REFERRAL LINE

Professor Arthur E. Wilmarth, Jr. gave a progress report on the Regulatory Compliance Help and Referral Line (the Referral Line). Professor Wilmarth reminded the Senate that this Compliance/Referral Line had come to the Senate's attention at several meetings in the past year, and that there had been considerable concern as to whether or not this Line would have an impact on the professional responsibilities or legal obligations of faculty. A Subcommittee of three faculty had been established to work with the University's General Counsel's Office and the Office of the Treasurer in order to see if the Compliance/Referral Line procedures could be revised in ways that would address the faculty's expressed concerns. Professor Wilmarth then thanked Professors Robert Park and David Robinson of the Law School, and Michael Castleberry of the GSEHD for their work on this subcommittee.

As a result of this subcommittee's work, the general guidelines for operation of the Compliance/Referral Line were significantly changed, the more important of which are detailed on page two of the Compliance Line document distributed to the faculty with the Senate's March meeting agenda. Professor Wilmarth pointed out that the Referral Line is not meant to duplicate, circumvent, or replace complaint procedures already in place and approved by the Senate. Most important, he said, was that an allegation received through the Referral Line, but not substantiated via established procedures, could not be used as grounds for taking adverse actions against anyone. Careful attention had also been paid, he said, to the issue of anonymous complaints, and the subcommittee had come to the conclusion that anonymous complaints could not be barred, but that callers should be asked to identify themselves, and should be advised that their failure to do so could impair the University's ability to respond effectively to their complaint.

Professor Wilmarth then reported that the Compliance Committee had been formed and had held a meeting, the minutes of which were included in the Compliance Line Report distributed with the Senate agenda. Professor Wilmarth said that he was one of the Faculty Senate's two representatives. Although he was out of town and not able to attend this meeting, the agenda and minutes were quite extensive.

Professor Wilmarth then briefly reviewed the section of the Report entitled "Reported Compliance Issues," which he said gives a list of 29 different possible allegations of wrongdoing and indicates the scope of issues covered by the Referral Line. This section of the report also indicates the assigned priority for different kinds of complaints, and then

gives an idea of how quickly follow-ups are made on various complaints. This section also indicates which departments are responsible for various kinds of complaints. Also appended to the report are a number of information sheets which he understood were used by the Pinkerton telephone operators in recording Referral Line allegations. Operators at the Pinkerton Alert Line follow the instructions given, which include a classification for an alleged violation and suggested questions for the operator to ask. Quite a number of the issues listed refer to financial and administrative compliance issues, and a number of them relate to research compliance issues, he noted. Probably this latter category, he added, was the most numerous and of most interest to faculty. Professor Wilmarth then encouraged each Senate member to review the information presented in the Report, with particular attention to the Alert Line sheets, with a view toward determining whether or not the guidelines set forth raise potential problems or concerns or have a significant upon a faculty member's work.

In conclusion, Professor Wilmarth said he thought the subcommittee's view, which he shared, was that given legal requirements, the University's decision to establish a Referral Line was an appropriate one, and that if the Line is now operated in the way described, simply as a referral clearing house to refer individual complaints to the responsible department or office, and if those offices handle these complaints according to already-established procedures, then faculty should not feel threatened by the Referral Line. As matters stand now, it appears that the Referral Line is not an alternative complaint, investigative, and resolution process which circumvents established procedures under the Faculty Code. Professor Wilmarth then invited questions about this Report.

Professor Friedenthal asked if the subcommittee had assigned the priorities for handling complaints contained in the report. Professor Wilmarth said that he thought this came from administrative offices in consultation with the University's General Counsel's Office rather than from the subcommittee. Professor Friedenthal then asked what faculty might do if they disagreed with the priority assigned to a particular type of complaint, and Professor Wilmarth replied that he thought that information should be conveyed to the General Counsel's Office. Vice President Lehman said he would be happy to transmit this information. Professor Gallo asked if the priorities set forth in the report were irrevocably set before complaints were received, or if a complaint was analyzed and then assigned an urgency rating. She added that it seemed to her that in many cases, the urgency of a situation should be taken into account before a priority is assigned. Professor Wilmarth said that it looked to him as if the priorities assigned to particular kinds of complaints were presumptively allocated, but those presumptive priorities would be changed if the circumstances of the individual complaint indicated that a higher priority should be given.

Professor Robinson asked if there would be future meetings of the Compliance Line Committee, as this issue of the assignment of priorities was exactly the sort of issue in which faculty should be involved. Professor Wilmarth said that he had not been notified of any additional meetings, but that if he did not receive notice of another meeting within the next couple of weeks, he would call the General Counsel's Office with the suggestion that another follow-up meeting be held. (The Report was attached to the meeting agenda for the Senate's March 14th meeting and is currently available on the Senate Website at: http://www.gwu.edu/~facsen/faculty_senate/pdf/complianceRpt.pdf and at: http://www.gwu.edu/~facsen/faculty_senate/pdf/AlertLineInfo.pdf.)

UPDATE FROM THE SUBCOMMITTEE ON THE SCHOOL OF PUBLIC POLICY

Professor Paul Duff reported on the work of the subcommittee composed of representatives from the Educational Policy Committee, the Fiscal Planning and Budgeting Committee, and the Professional Ethics and Academic Freedom Committee on the prospective establishment of a school of Public Policy. Since the subcommittee began meeting, he said, they have reviewed the Public Affairs Task Force Report and the response to that Report by the Executive Vice President for Academic Affairs; discussed the proposal with Professors Kathryn Newcomer, Joseph Cordes, and Harold Wolman; asked the relevant deans to inform the subcommittee of any concerns that they might have about the proposal, and the subcommittee has consulted with them about the processes envisioned for obtaining faculty approval for establishment of the school. The subcommittee has received a report that the SBPM Dean's Council had no objections to the move, and the proposal has been discussed with the Columbian College Dean's Council as well as with affected faculty. Finally, the subcommittee met with the Executive Vice President for Academic Affairs.

Among the issues of concern to subcommittee members, as representatives of the Faculty Senate, are whether or not calling the entity a "school" is a fair way to represent it to faculty, students, and the public at large, especially since it would be a school within a school as an issue addressed by Senate Resolution 96/14. A related issue is, assuming that the school of Public Policy merged into Columbian College, whether there might be a different name that would be more appropriate for the educational unit such as "Center" or "Institute." Another important issue, he added, is the protection of the rights of untenured faculty or those who will be facing promotion after the move as well as whether or not the affected schools (CCAS and SBPM) are content with the proposed financial arrangements.

In conclusion, Professor Duff said that at the suggestion of the subcommittee, the Executive Vice President for Academic Affairs has asked that Professors Newcomer, Cordes, and Wolman prepare a final document on this matter, to be presented to the Senate at its May meeting.

Professor Wilmarth asked if there had been any significant expression of concern by faculty who would be moved to the new school, and Professor Duff said he thought the reaction was quite the opposite. Professor Wilmarth then asked if he thought there might be an adverse financial impact on Columbian College or the School of Business and Public Management, and Professor Duff replied that the deans concerned seemed to be content that they could work out financial details satisfactorily. Professor Griffith added that he thought this issue had been negotiated with great care.

Professor Robinson asked what process would be followed in order to provide for full faculty involvement in the decision to establish the new school. Professor Griffith said that he expected that Dean Frawley would present the proposal to the Columbian College faculty for their approval once budget negotiations were concluded. Professor Robinson then asked if the subcommittee intended to present a resolution on the matter, and Professor Duff confirmed that the subcommittee would make a final report with recommendations, and possibly a resolution, at the Senate's meeting in May. Professor Griffith noted that the subcommittee thought that if either the Columbian faculty, or Business School faculty failed to approve the proposal, the matter would be a moot issue as far as the Senate was concerned.

Professor Wilmarth asked if it was certain the new entity would be called a school, and Professor Duff confirmed that there had been a lot of discussion about this issue. Discussion followed, with Professor Cordes pointing out that because of the propinquity of the disciplines involved, and for the purpose of administrative organization, it would make a lot of sense for the entity to be called a school. He also named a number of other institutions at which this model was followed. Professor West asked how many faculty would be involved in the new school, and Professor Cordes responded that approximately 14 faculty would be actually budgeted to the unit. Professor Cordes also confirmed that there would be another arrangement, similar to a joint appointment, where there would be a number of other faculty who would be full voting faculty members of the unit for purposes of choosing directors, approving the curriculum, and voting on hiring decisions, but whose budget lines would be administered by another unit.

Professor Friedenthal asked if this unit would be completely within Columbian College, and Professor Cordes said that it was. Professor Friedenthal then observed that CCAS is a College, not a school, and that a school within a College seems perfectly appropriate. Vice President Lehman concurred with this observation. The discussion concluded with Professor Cordes confirming that the proper name of the new school would be "School of Public Policy and Public Administration." Professor Robinson then thanked Professor Duff for his willingness to take on so many tasks this semester.

GENERAL BUSINESS

I. NOMINATIONS FOR ELECTION TO THE NOMINATING COMMITTEE FOR THE FACULTY SENATE EXECUTIVE COMMITTEE FOR THE 2003-04 SESSION

Professor Robinson moved the nominations of the following individuals to the Nominating Committee for the Executive Committee for the 2003-04 Session: Professors Lynda L. West (GSEHD), Convener; Diane M. Brewer (CCAS), Linda L. Gallo (SMHS), Charles A. Garris (SEAS), John F. Lobuts (SBPM), Robert E. Park (GWLS), and Michael J. Sodaro (ESIA). The entire slate was approved.

II. REPORT OF THE EXECUTIVE COMMITTEE

Professor Robinson presented the Report of the Executive Committee, which is enclosed.

BRIEF STATEMENTS (AND QUESTIONS)

Vice President Lehman said he wished to brief the Senate on developments concerning the University budget before a letter from the Executive Vice President and Treasurer reached them the next week. The purpose of conveying this information in advance, he added, was to ask for the faculty's commitment to these measures, which will be instituted in order to facilitate continued funding of the University's programs, especially in the Strategic Planning activities already underway.

Vice President Lehman then noted that a large number of state and private universities have found it necessary to announce large tuition increases while at the same

time slashing their budgets in order to stay financially sound. GW has not been immune to the decline in the stock market and in this segment of the University's endowment. For the fiscal year 2002, Vice President Lehman reported that the drawdown on the endowment has been reduced by approximately \$5 million, and an even larger reduction, possibly as much as an additional 15 percent, is anticipated in FY '03. This additional reduction will be somewhere in the neighborhood that the total percentage will be 26%, or approximately \$10 million, he added.

In order to adjust to these new fiscal realities, Vice President Lehman continued, two primary steps will be undertaken. The first is the institution of controls (not a freeze, he emphasized) on the hiring and classification of faculty and staff positions across the University. These will in the future all need to be approved by the appropriate Vice President before the University Budget Office or the Human Resources Office will move forward in the hiring process. In terms of the Academic Affairs area, Vice President Lehman said that he had settled on criteria that would underlie his decision-making on these requests. The first criterion would be considering whether or not the position to be filled is any way related to revenue generation at the University. If so, he said, it would be approved, and if not, it would not. The Vice President added that he might find it necessary to delay filling certain positions for a period of time. The second criterion used to evaluate requests would be that of necessity, with essential positions receiving approval because they are absolutely critical for the academic operations of the University.

The second step taken to address the new fiscal reality will be eliminating any merit pay increases for the next academic year so that University faculty and staff will not be considered for the usual January merit increase. This increase will be delayed until the beginning of the fiscal year in July, 2004. This will return the University to the schedule adhered to some years back, before merit increases were delayed from July until January. Merit increases will now once again coincide with the beginning and end of each fiscal year. This last step is important, he said, because a six month delay will save the University somewhere on the order of \$4.5 million (assuming the normal 4% merit increase pool), and this is not trivial when considered alongside the \$10 million that needs to be conserved.

Vice President Lehman concluded by saying that discussions are underway at all levels, including the Council of Deans, with regard to strategic objectives and implementing the Strategic Plan thoroughly. Overall, he added, compared to circumstances at other colleges and universities, GW's situation is very mild. So long as enrollments continue to be healthy, GW should weather the storm. At the moment, the prospects for maintaining undergraduate enrollments look very good. Of some concern is a recent accounting for average tuition hours taken by the students as projected for graduate enrollment in some schools.

Professor Griffith, Chair of the Fiscal Planning and Budget Committee (FP&B) reported that his Committee wished to register a complaint, in that it has been very frustrated this year following its report to the Senate that the University's endowment payout would be sharply reduced both this year and next. Because it was clear that this development would have a good many implications for the operating budget as a whole, the Budget Office was asked to keep the Committee up to date on planning for these budgetary implications. Unfortunately, the Committee has not been able to get any significant flow of information from the Budget Office, or from the Treasurer's Office, and thus, it has not been able to

report, as is customary, on the impact of these financial developments on the operating budget. Professor Cordes echoed Professor Griffith's sentiments, saying that although it was his first year of service on the FP&B, it has been a struggle to obtain necessary information.

Professor Maggs asked Vice President Lehman to elaborate on the two criteria of revenue-generation and necessity he had mentioned in evaluating faculty hiring requests. Vice President Lehman clarified that those criteria will be applied to staff positions rather than faculty positions, which will be evaluated according to their link to strategic objectives for each of the Schools. While a concerted effort will be made to see that only the very best faculty are found to fill open positions, he said he would be involved in these decisions more than he had in the past.

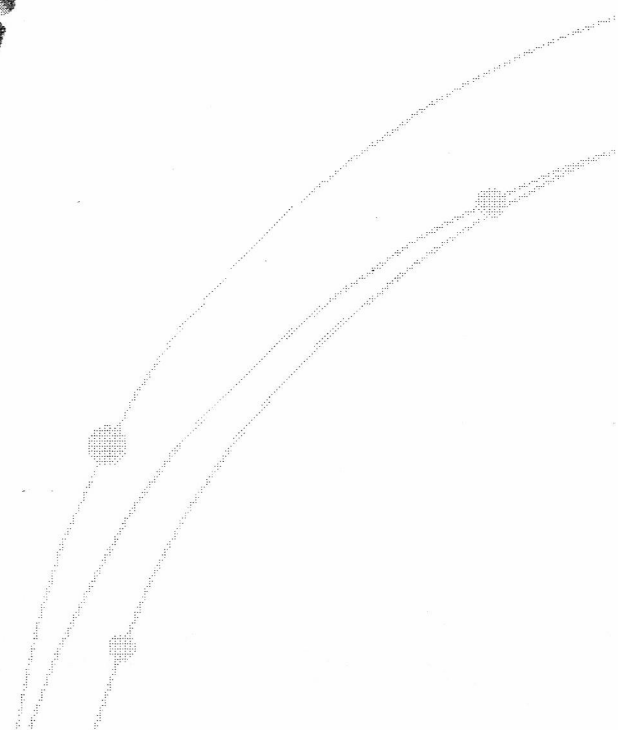
Professor Gallo asked if these new measures would apply equally across all the Schools of the University, and Vice President Lehman confirmed that the Medical Center would have its own guidelines, perhaps more stringent than those in other Schools, but the other Schools would be bound by University guidelines. He would continue, he added, to review faculty hires as he usually does, in the Medical Center.

ADJOURNMENT

There being no further business before the Senate, a motion to adjourn was made and seconded, and Vice President Lehman adjourned the meeting at 4:52 p.m.

Dennis L. Geyer
Dennis L. Geyer
Secretary

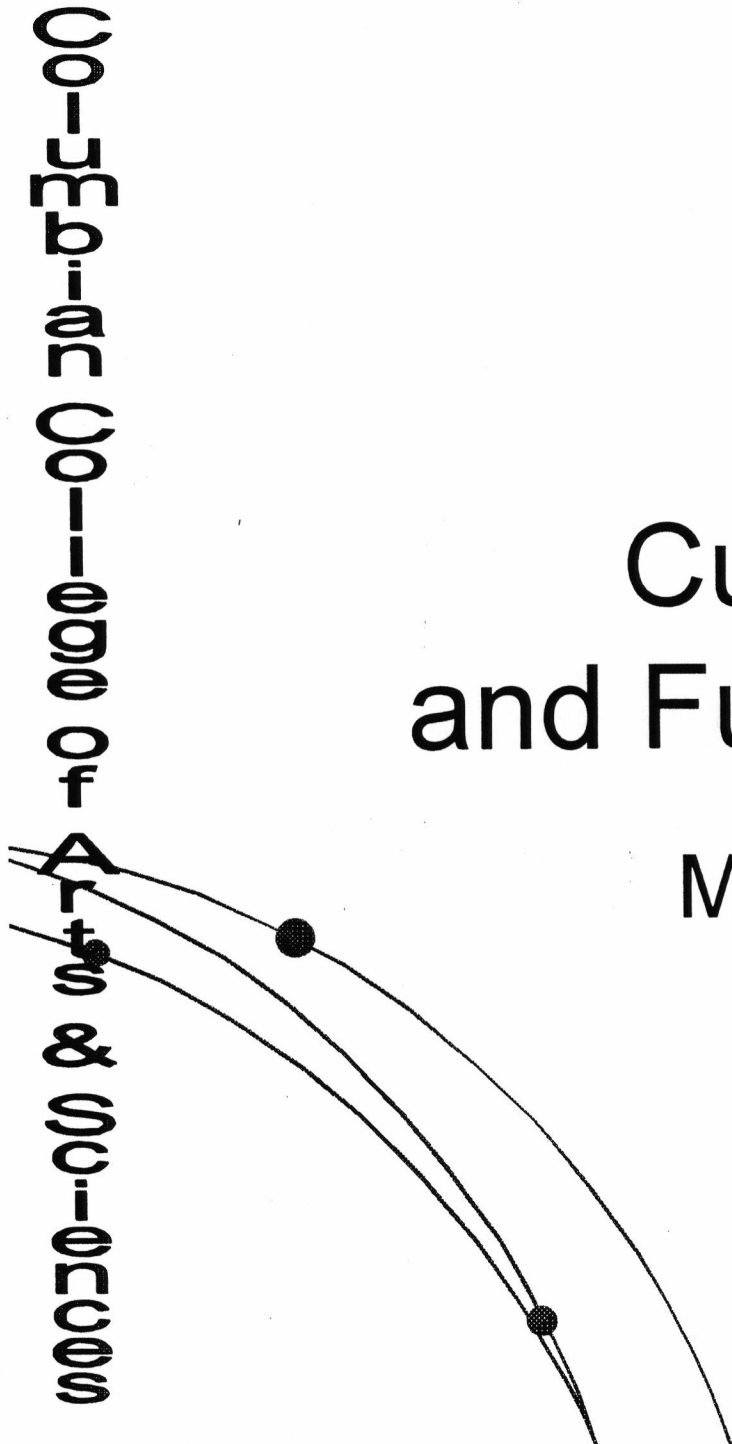
Columbia College of Arts & Sciences



CCAS

Current State and Future Directions

March 14, 2003



Which one is Columbian College?

CCAS 1992

- HS rank: 17th pctl SAT: 1110
- Retention Rate: 85.9%
- 6 Yr. Grad. Rate: 56.6%
- Largest Majors: Political Science, Psychology
- Grad Entering GPA: 3.228
- GRE: 1143
- Largest Degree Programs: MA: Art Therapy, Museum Studies; PhD: Political Science, Psychology, Economics
- Teaching Faculty: 334 -- Professor: 138; Associate: 92; Assistant: 94; Instructor: 10
- Number of Departments/Programs: 40

CCAS 2002

- HS rank: 14th pctl; SAT: 1250
- Retention rate: 82.8%
- 6 Yr. Grad Rate: 63.7%
- Largest Majors: Psychology, Political Science
- Grad Entering GPA: 3.304
- GRE: 1104
- Largest Degree Programs: MA: Political Management, Museum Studies; PhD: Psychology, Political Science, Economics
- Teaching Faculty: 377 -- Professor: 126; Associate: 113; Assistant: 131; Instructor: 7
- Number of Departments/Programs: 42

Which one is Columbian College?

CCAS 1992

- Undergraduates: 3163
- Graduates: 1645
- Minority Students: 636
- Double Majors: 70
- All Faculty: 350
- Minority Faculty: 36
- Named Professors: 2
- Sponsored Research:
 - Grants Awarded: 134 (GW)
 - Amount: \$43 Million (GW)
- Budget: \$33,893,479
- Law School Acceptance Rate: 68.4%
 - GW, Georgetown, NYU, UC Berkeley
- Faculty Honors: Guggenheim, Fulbright
- Average GTA Support: \$7,725

CCAS 2002

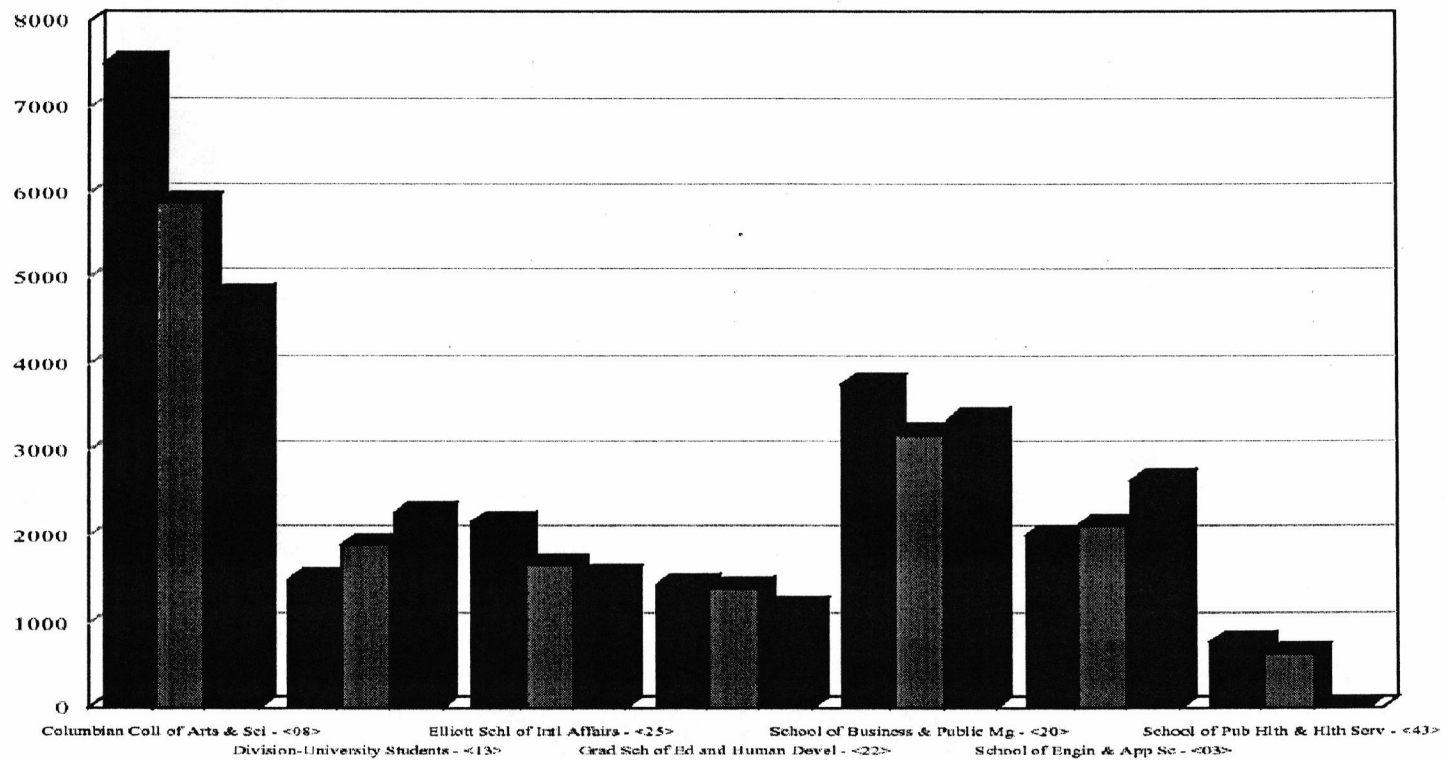
- Undergraduates: 5205
- Graduates: 2095
- Minority Students: 957
- Double majors: 219
- All Faculty: 434
- Minority Faculty: 61
- Named Professors: 18
- Sponsored Research
 - Grants Awarded: 138 (CCAS)
 - Amount: \$44.7 million (CCAS)
- Budget: \$+/- \$53,000,000
- Law School Acceptance Rate: 86.5%
 - Yale, Harvard, Stanford, NYU, Columbia
- Faculty Honors: Guggenheim
- Average GTA Support: \$11,475

CCAS Now

Total Enrollment

2002 Fall
1997 Fall
1992 Fall

MEASURES

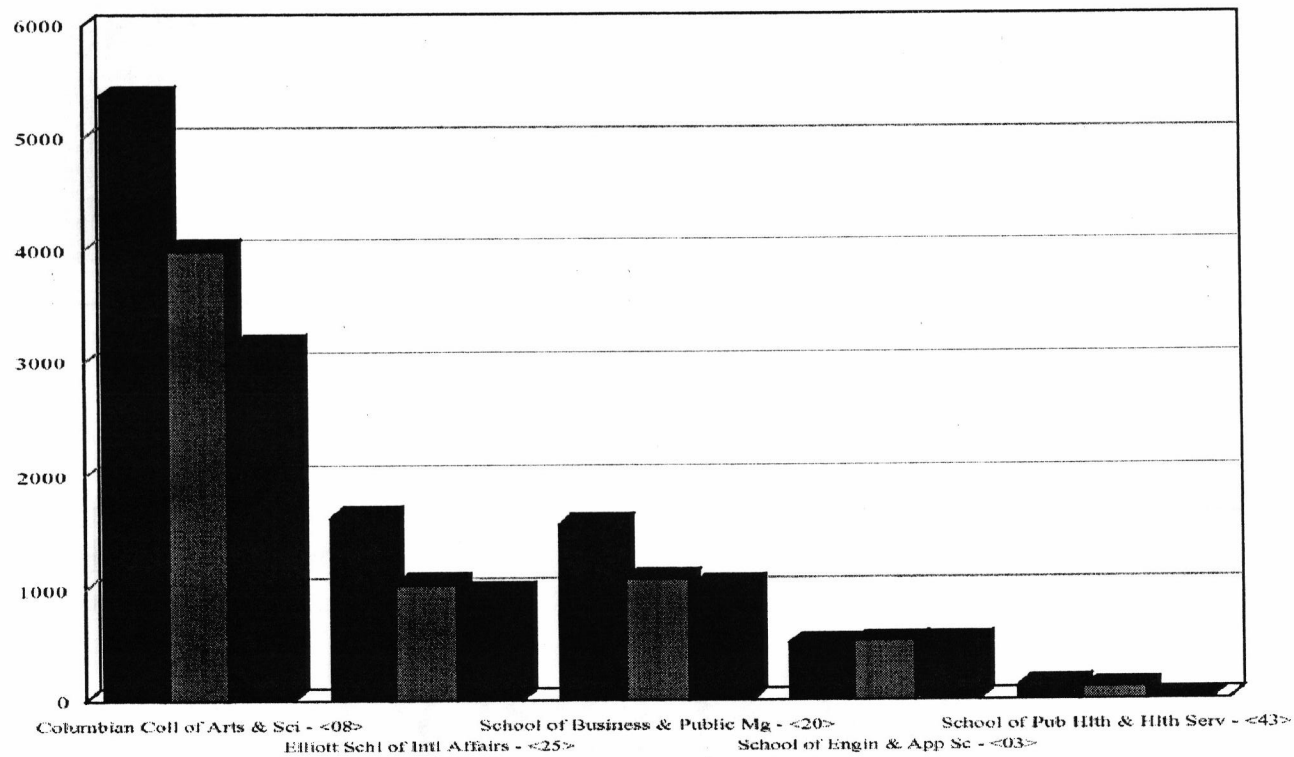


CCAS Now

Undergraduate Enrollment

2002 Fall
1997 Fall
1992 Fall

MEASURES

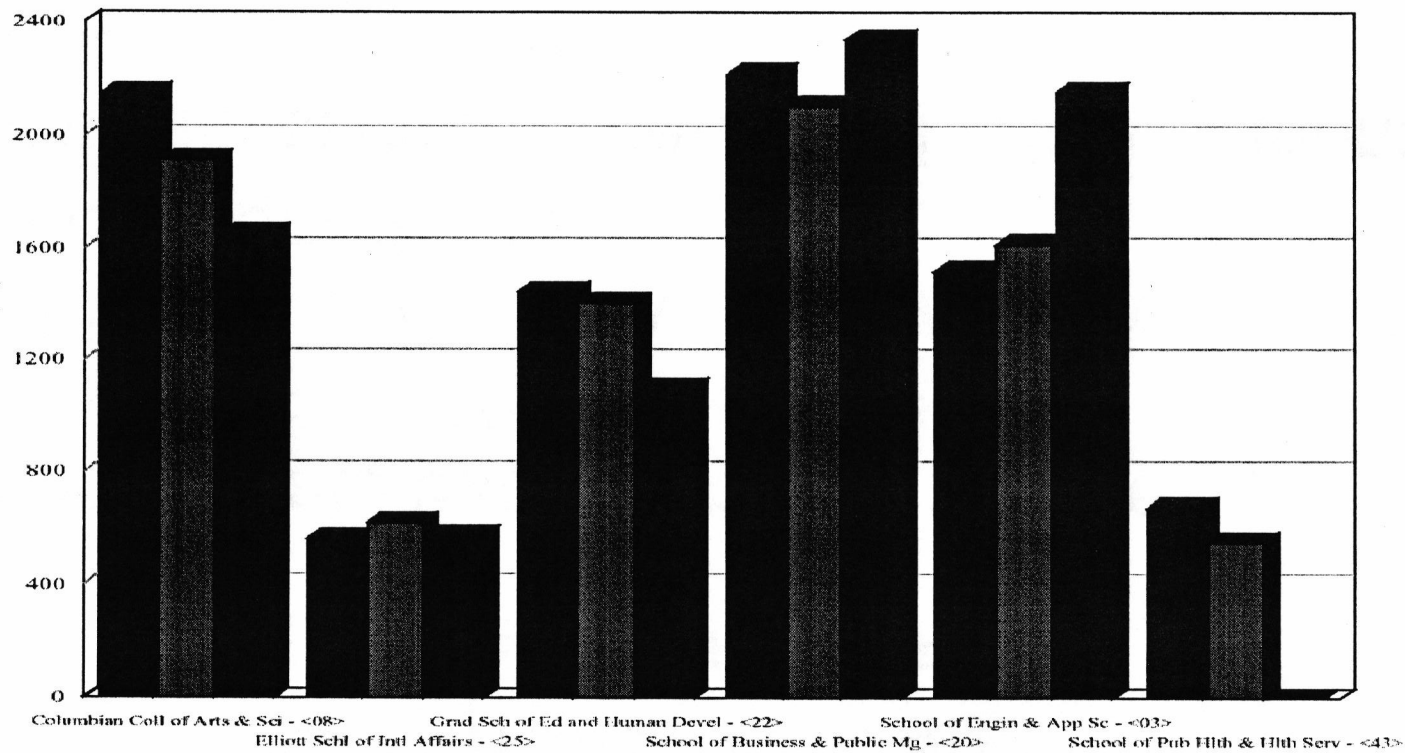


CCAS Now

Graduate Enrollment

■ 2002 Fall
 ■ 1997 Fall
 ■ 1992 Fall

MEASURES



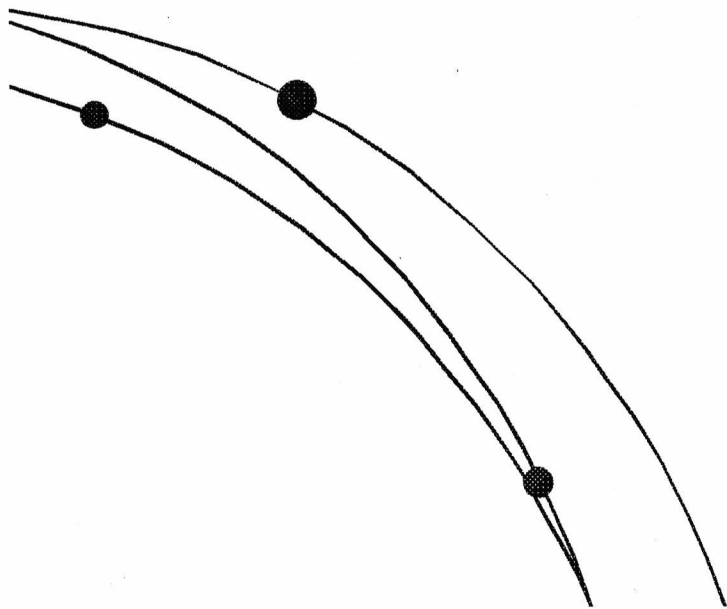
Columbian College

Five Directions for the Future

- Undergraduate Experience: Challenge, Discovery, Engagement, Focus
- Graduate Experience: Visible, Well-Defined, and Well-Supported
- Faculty: Investment in Academic Environment and Accomplishment
- **Technologies**: Alternate Deliveries and Tools for Self-Management
- Internal and External Position: Efficient, Effective, and Principled Conduct of Business

Columbian College

What We Have Done in 02-03



Undergraduate Excellence

Challenge, Discovery, Engagement and Focus

- Dean's Seminars (50 seminars for 1,000 students)
- Restructuring Freshman Advising
- Undergraduate Research
 - Gamows
 - Undergraduate Travel Support
- Integrated Core Competencies
 - Writing Initiative
 - Freshman Writing Seminars
 - Writing in the Disciplines
 - Multicultural Competency
 - Dean's Scholars in Globalization: Global Living-Learning Communities
- Proposed Strategic Initiative: Sophomore and Junior Engagement Activities
 - Academic Assistants
 - Mid-course Seminars
 - Threaded Curriculum

Graduate Excellence

Visible, Well-Defined, Well-Supported

- Inventoried, Reallocated, Increased, Extended Graduate Packages
 - Independently of EVPAA: >\$175,000 in Internal Reallocations
 - Support EVPAA Allocations
- Selective Excellence I
 - Supported New GTAs for Hominid Paleobiology, Political Science, History, Public Policy
- Selective Excellence II
 - GTA Reallocations for Museum Studies, Anthropology, Women's Studies, Forensic Sciences, Sociology
 - Science Initiative
 - Conferences in Museum Studies, Psychology, International Writers
- Increase and Change Graduate Travel Support

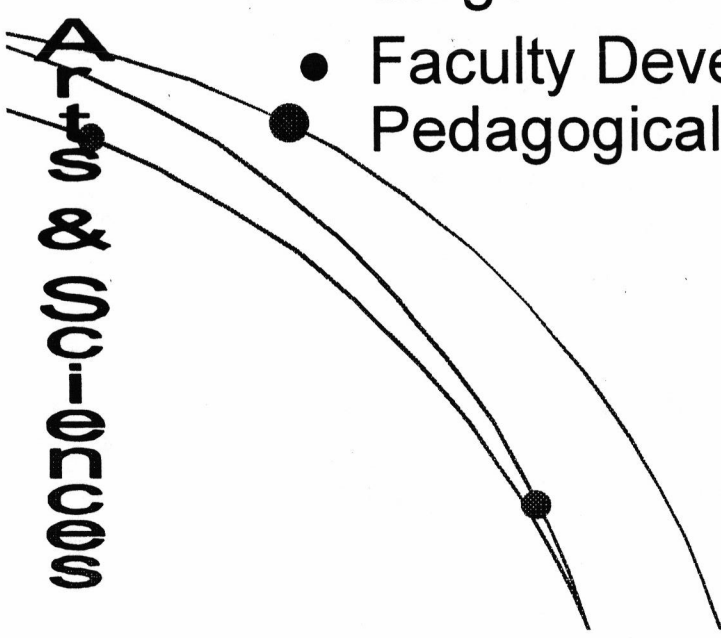
Excellence in Faculty

Invest in Academic Environment and Accomplishment

- Recruit: +/- 30 Searches
 - Senior Appointments
 - Getting #1 Choices
 - Startups All Around
- Research-Teaching Environment
 - Columbian Research Fellows
 - Increase Faculty Travel Support +/- 50%
 - Increase Junior Scholar Incentive Awards +/- 50%
 - Salary Support for Major Fellowship Winners
- Science Initiative (Selective Excellence II)
 - Science Advisory Committee
 - Facility, Equipment, Curriculum, and Grant Planning and Management
 - Potential Unifying Science Major
 - Press Visibility: Background Briefings for Journalists
- External Funds Generation
 - Increase Humanities Funds: NEH visit
 - Possible Agency Fellowships
 - Future: Benchmarking

Technologies

Alternate Deliveries and Tools for Self-Management

- Research-Instructional Technology
 - Visualization of Data
 - Administrative Technology
 - Digital Shelf
 - Content Management System
 - Website
 - Large-Enrollment Classes
 - Faculty Development and Serious Pedagogical Support
- 

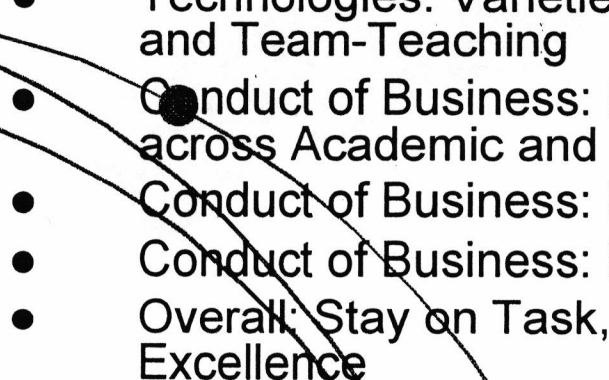
Internal And External Position

Efficient, Effective, and Principled Conduct of Business

- CCAS Office
 - Distributed Management
 - Two new Assistant Deans
 - New Associate Dean for Undergraduate Studies
 - (Hopefully) New Executive Director for Advancement
 - Systematized Staff Evaluation and Development
- New CCAS Units
 - School of Public Policy
 - I/O and Organizational Sciences (Syracuse, Vanderbilt)
 - Center for Language Teaching and Learning (Penn, Columbia, Dartmouth)
 - Re-examining Center for Biostatistics
- Partnerships
 - National Council Expertise Clusters
 - Embassies
 - Italy: Language Teaching; India: International Writers' Series
 - University of Haifa: Living with Terrorism Conference
- Public Relations
 - Interactive Website
 - Weekly CCAS Newsletter

Columbian College

12 Challenges to Reaching the Future

- Undergraduate: Balance of Engagement/Challenge vs. Enrollment
 - Undergraduate: Mid-Course Retention
 - Graduate: Fellowship-Like Experiences
 - Graduate: High, Selective Yield from Recruiting
 - Faculty: Targeted Recruitment Plans
 - Faculty: (Thoughtfully) Recruit, Retain, Reward, Renew, Promote
 - Faculty, Graduate, Undergraduate: Efficient Research Infrastructure – Grants Development and Management, Incentivized IDC
 - Technologies: Varieties of Mediated Delivery – Wireless, Interdisciplinary and Team-Teaching
 - Conduct of Business: Integrated, On-Going, Advance Conversations across Academic and Non-Academic Units
 - Conduct of Business: Flexibility and Liquidity of Resources
 - Conduct of Business: Leadership Development in Chairs
 - Overall: Stay on Task, on Time – Strategic Initiatives and Selective Excellence
- 



THE GEORGE
WASHINGTON
UNIVERSITY
WASHINGTON DC

EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

**COLLEGE OF PROFESSIONAL STUDIES
2001-2002**

REPORT TO THE FACULTY SENATE

by

Donald R. Lehman

Executive Vice President for Academic Affairs

The George Washington University

Washington, DC 20052

February 2003

College of Professional Studies

INTRODUCTION

The creation of the College of Professional Studies was authorized by GW's Board of Trustees in October 2000. The College was approved to offer associate, bachelor, and master's degrees in Professional Studies. The Board's decision was preceded and followed by broad-ranging discussions among University faculty, staff, and trustees regarding the mandate and mission of such a college, how it could best be implemented, and its implications for other schools and the University as a whole.

The University's current mission statement, developed as part of the 1997 Middle States self-study process and discussed in the resulting report, includes lifelong learning in the core mission of GW. The report made clear that continuing education is not a new activity for GW by any means; GW's location, charter, and history all point to a significant role for service in the form of lifelong learning, and the new mission statement simply reflects an historical and ongoing focus. Similarly, the College of Professional Studies reflects a new strategy for fulfilling GW's historical mission in a way that is responsive to the needs of today's students.

This Report to the Faculty Senate presents an overview of the College's growth and development during its first year of operation.

GOVERNANCE

Dean's Council

Composition and Membership: In accordance with the Faculty Senate resolution of September 2000, the Dean's Council consists of the following: One tenured faculty member from each College/School of the University that participates or may be affected by off-campus program offerings, elected by the faculty of that College/School; three chairs of departments with faculty participating in off-campus program offerings, appointed by the Dean of the College of Professional Studies; and three non-tenure-accruing faculty from among those participating in the off-campus programs or current offerings of the College of Professional Studies, appointed by the Dean of the College of Professional Studies. The members serve three-year terms, with the exception of the first group having one-, two- or three-year terms so that thenceforth the Council will consist of members serving staggered three-year terms. The current membership list is attached as Appendix A.

Meeting Schedule: The first meeting took place in January 2002. The Council agreed to meet, and has met, once per month from September through May of each year.

Official Actions Taken: The Council elected a chairperson at its second meeting, in February 2002. At its December 2002 meeting, the Council approved the sections of the College's bylaws

presented in Appendix B. These bylaws omit sections relating to faculty appointment and promotion; the Council agreed that more time could be taken to draft those sections because CPS's practice in that area may be somewhat different from other GW Colleges/Schools. At its February 2003 meeting, the Council reviewed information about a new graduate certificate program in Landscape Design proposed by CPS and forwarded it to the EVPAA with a recommendation for approval.

Pending Matters:

Agenda items for Spring 2003 include the sections of CPS's bylaws dealing with faculty appointment and promotion; procedures for removing members (e.g., for non-attendance); and developing a template for program proposals that will facilitate and expedite review of new programs.

COLLEGE ADMINISTRATION

Accreditation

Information about the College was submitted to the Middle States Commission in November 2001 as a substantive change occurring between periodic reviews. The Commission accepted the report at its March 2002 meeting, indicating that the College of Professional Studies is now included within the scope of GW's accreditation.

Faculty Code

Amendments to the faculty code were requested in accordance with the Faculty Senate resolution of September 2000. The principal amendment requested was an exemption from specific requirements regarding the proportion of faculty serving in tenure-accruing appointments.

College Senior Staff

The Dean of the College was appointed in July 2001 after a search process involving a committee jointly appointed by the then-VPAA and the deans of GSEHD, SEAS, SBPM, CCAS, ESIA, and SPHHS. Two Associate Deans were appointed in January 2002 after a national search process conducted by a search committee appointed by the Dean, whose members represented GSEHD, SEAS, SBPM, CCAS, and SPHHS. The qualifications of these three academic administrators include teaching at the undergraduate to doctoral level; publishing in diverse fields; membership in national and international boards of directors and specialized committees; and serving as external curriculum examiners for colleges and universities, editors and reviewers for internationally recognized journals, conference key note speakers, and opinion leaders for mass media.

Appendix C is a promotional piece given to potential clients which includes a list of the College's staff as well as a description of the College aimed at external audiences.

Graduate Education Centers

The College of Professional Studies continues to carry out the function of its predecessor, the Office of Academic Development and Continuing Education, of housing the administrative unit that provides centralized support for facilities, marketing and student services for off-campus

graduate programs offered by four other GW schools (Columbian College of Arts and Sciences, School of Engineering and Applied Science, Graduate School of Education and Human Development, and School of Business and Public Management). The three off-campus centers currently in use and managed by the College are located in Alexandria, Virginia (11,700 square feet, occupied since 1995); Hampton, Virginia (12,200 square feet, occupied since 1999); and Arlington, Virginia (21,200 square feet, occupied since 2000). Each of the centers includes offices for student services staff and program faculty, up-to-date classrooms and computer labs, and computer practice labs for use outside of class hours. Current plans are to relocate the Alexandria center to a larger space in Fall 2004.

The academic supervision of all credit programs offered at these centers is essentially identical to that of programs at the main campus. New program offerings and curricula are submitted and approved using the same procedures. Admissions requirements established by each school for its main campus programs are applied equally to its off-campus programs, and applications for admission and graduation are evaluated by the same offices for both on- and off-campus programs. All off-campus offerings in Maryland are approved by the Maryland Higher Education Commission; those in Virginia are approved by the State Council of Higher Education for Virginia. Dean Whitaker briefed the full Senate on off-campus enrollment patterns and budget performance on March 8, 2002, and continues to update the Dean's Council on trends and performance off-campus.

Financials

The budget office's FY02 report on Off-Campus Programs and the College of Professional Studies is attached as Appendix D. The overall positive variance for programs marketed and administered by CPS was approximately \$1.25 million in net contribution (\$4.93 million actual vs. \$3.68 million budgeted).

ACADEMIC PROGRAMS

Curricular Joint Venture Model

Two of the defining characteristics of the College of Professional Studies are that its recruitment efforts focus on organizations more than individuals, and that program development focuses on emerging disciplines and interdisciplinary programs that until now have had difficulty finding sponsorship within existing departments. Its curriculum, therefore, as the title Professional Studies implies, is organized around market needs rather than academic disciplines as traditionally defined; however, all degree programs developed by the College recognize that Professional Studies in any field must be based on a foundation of literacy and ethics, and skills in communications, quantitative analysis, and the application of technology.

The curriculum development model that emerges from a recruitment focus on organizations is what we have termed a curricular joint venture, representing an advanced point along a continuum of possible relationships with client/partners. This model, which is only considered if the client or partnering organizations' needs are not addressed by existing curricula within other schools or colleges in GW, is based on a refinement process using criteria it has developed in its first year for judging initiatives. Filter criteria for College partner organizations include:

- Interest from organizational client (rather than individuals)
- Needs of client organization unmet by current GW programs
- Client interest in curricular joint venture (co-development of program)
- Demonstrated potential to attract high-quality students
- Prospective students (client employees) are adults (at least five years older than traditional students age 18-25)
- Rigorous academic standards are upheld
- Proposed curriculum is amenable (at least in part) to distance education methodologies
- Program is profitable (contribution margin of approximately 40%)

The utility of the curricular joint venture model is only realized if it is coupled with our ability to respond quickly to client needs, develop customized programs efficiently, and introduce initiatives to the Council in an accelerated timeframe.

Role of Research

Within the College's model of the curricular joint venture, research is valued for its relevance to a human/societal problem of some urgency, which may be associated with one or more traditional academic disciplines. Such research is closely intertwined with learning, to a degree that, sometimes, the two cannot be differentiated, and it should add significant value to both the client organization and the College. It may be as simple as consideration of a problem unique to the client organization during a master's-level capstone project; it may also take the form of one or two faculty members teaming up with a few learners from the organization to tackle a specific problem of note to the organization, within a period of time and with a level of resources determined by the organization's needs.

Opportunities for collaborative research occur as a direct outgrowth of the CPS co-curricular design and co-development process. These opportunities can include a combination of cross-disciplinary curricular resources from existing GW schools and colleges, such as SPHHS, CCAS, SEAS, SBPM, GSEHD, etc. Research subjects of interest to potential clients to date have included such areas as nuclear energy studies, systems integration, information/network security, and risk assessment and reliability, IT marketing and management, telecommunications marketing, and financial mathematics.

Pending Issues

The issue of *faculty resources* continues to be a prominent concern. It was specified by the Faculty Senate and the Board of Trustees at the time the College was created that it would have no tenured faculty, but neither will the programs be staffed entirely with part-time and temporary faculty; so the questions arise of what alternative career paths will be open to College faculty, and what criteria will be used for selecting, compensating, and promoting them. The College staff and its Dean's Council (which includes faculty members from six other schools) are currently addressing these issues as they develop the sections of the College's bylaws regarding faculty appointments, evaluations, and ranks. (Please see Appendix B).

On an operational level, two other issues the College is addressing are the degree of *flexibility to be applied in admissions, and the assessment of prior learning*. Continuing education has always had a predisposition toward inclusiveness and opportunity for the maximum number of students, and organizational clients often reinforce this predisposition. Clients of the quality that engage the College of Professional Studies, however, also recognize that the prestige that attracted them to GW is partly a result of selectivity and even a degree of exclusivity. It has been emphasized repeatedly throughout the process of establishing the College, by all parties concerned that GW intends to maintain and continue increasing the qualifications of its students. Yet there is still an opportunity, and perhaps a necessity, to consider different ways of measuring the qualifications of students who have many years of work experience intervening between high school and college, or between undergraduate and graduate degree work. Similar considerations arise with respect to prior learning assessment, and the College will be reviewing best practices in this area as well as the appropriateness of prior learning assessment within the curricular joint venture model.

Client Relations

Over the past year CPS has spoken with several potential client companies and partnering organizations. While not all of the following may finally result in new degree programs, they are active conversations that illustrate the CPS approach to curricular co-development with partner organizations.

Graduate Certificate in Landscape Design in partnership with VA Tech

Students from GW's highly praised and respected certificate in Landscape Design, currently offered on non-credit basis, have been granted a special standing to enter a Master's degree program in VA Tech by being placed directly into the second year of the program. The academic rigor and professional reputation of this GW certificate is such that if it had a natural place within GW (e.g., a school of architecture or agriculture), and/or if GW had the resources to invest in the requisite infrastructure for it (e.g., special laboratories and equipment) it would be worthy of a Master's degree of its own. CPS has been in conversations with VA Tech (as an external partner) and the CPS Dean's Council to give this valued program its proper standing by offering it as a credit-bearing certificate. This step would allow the GW students obtaining the certificate to articulate their credits towards other Master's degree programs in the nation that unlike VA Tech do not currently have a partnership with GW. This move is also a trend encouraged by the Association of the Landscape Design Professionals.

Graduate School (GS), US Department of Agriculture (USDA)

CPS along with GWSolutions has been intimately involved in an ongoing initiative with the USDA GS to provide thousands of government employees with a career management tool that will allow an employee from a host of government agencies to assess his/her skills and knowledge in the Information Technology Management areas, as developed in the Office of Personnel Management's (OPM's) standards, and tie it directly to his/her job level competency requirements with a roadmap for future promotions and placements. CPS is considering the development of a degree completion component of this initiative based on stackable credentials concept, ultimately leading to a Bachelor's or Master's degree. This will be one of the first

examples of curricular joint ventures based on co-design and co-development of a customized degree with organizational partners.

Navy Fleet Information Warfare Center (FIWC)

CPS has put in place the framework for a sustainable contract-based partnership with this new unit within the Navy's elite operations on network activities and security (the Center has been in place since summer of 2002) by co-designing and co-developing an undergraduate degree completion and a graduate degree initiative based on the stackable credentials idea of integrating certificates into a degree with proper measures of academic cohesion and outcome-based program assessment to ensure the overall quality of the program. Two Vice Admirals, one from each coast, in addition to the proper authorities from the Naval Postgraduate School (NPS) have been briefed and given their full support to this initiative, indicating how such an initiative would positively transform the Navy education.

DC Metropolitan Area Law Enforcement Agencies

Building on earlier GW initiatives, CPS is actively engaged with Columbian College and the School of Public Health and Health Services in a co-curricular process with the Metro Transit, DC Capitol, and the DC Police Department and Police Institute. The purpose is to co-design and co-develop an associate's degree and other specialized undergraduate certificates which may lead towards bachelor's degree completion in police studies and graduate certificates and master's degree in the area of criminal justice. This initiative has capacity for growth into other areas such as emergency first responders and homeland security knowledge needs.

National Air Traffic Controllers Association (NATCA)

A certificate tied closely to the experiences and competencies of the Air Traffic Controllers is being developed with NATCA, School of Engineering at GW, the SBPM, GWSolutions, and the MITRE Aviation Institute. It is envisioned that the certificate will be initially offered on a non-credit basis with an option to be enhanced into a credit-bearing certificate, and possible addition of other certificates stackable towards a degree. This initiative is in a preliminary stage.

National Football League Players Association

CPS is in preliminary discussions with the NFLPA regarding development of stackable certificates leading to degree completion at the undergraduate level and master's degree in areas relating to sports management. This initiative has the potential of being expanded into other athletic associations and the World Olympians Association.

APPENDIX A

Membership of the College of Professional Studies Dean's Council As of February 2002

Name	Email	Campus Address	Room/Suite
Whitaker, Roger	rogerw@gwu.edu	805 21st Street, NW	Suite 301
Brown, Walter	wbrown@gwu.edu	2134 G Street, NW	Room 322
Carson, John	carson@gwu.edu	Monroe Hall	Room 402B
East, Maurice	meast@gwu.edu	Stuart Hall	Room 202B
Frechtling, Doug	frechtli@gwu.edu	600 21st Street, NW	Suite 201
Helgert, Hermann	helgert@seas.gwu.edu	Phillips Hall 628	6 th Floor
Marotta, Sylvia	syl@gwu.edu	2134 G Street, NW	Room 326
Mazzuchi, Thomas	mazzuchi@seas.gwu.edu	1776 G Street, NW	Suite 110
Shotel, Jay	jshotel@gwu.edu	2134 G Street, NW	Room 428
Southby, Richard	sphrfs@gwumc.edu	Ross Hall	Room 106B
Sterling, Chris (<i>Chair</i>)	chriss@gwu.edu	805 21st Street, NW	4 th Floor
Vincze, Eva	evincze@gwu.edu	Arlington GECA	4 th Floor
Williams, Larry	lrw@gwu.edu	Monroe Hall	Room 403B

APPENDIX B

College of Professional Studies Bylaws

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College of Professional Studies Bylaws

The George Washington University

Washington, DC

Adopted

PREAMBLE

The mission of the College of Professional Studies is to exemplify a new model of teaching and learning, one that addresses the learning needs of organizations in the knowledge-based economy and engages students as active participants in their own education. The College, therefore, has an outward-looking vision: it forms strategic partnerships with external organizations to create innovative multidisciplinary programming, curricular joint ventures, outcomes-based assessment, and multiple delivery modes including technically mediated instruction. The college advances the continuing relevance of the University in the 21st century by taking the core values and standards of the University into the arenas of lifelong and organizational learning.

I. Name of the Organization

The name of this organization shall be the College of Professional Studies, hereafter referred to as the College.

II. Purpose and Subordination of Bylaws

These Bylaws set forth the structures and procedures by which the College defines its authority to formulate and fulfill its educational policies and programs. These Bylaws are supplemental and subordinate to the University Bylaws and Faculty Code.

III. Membership

A. Dean

The chief administrative and academic officer of the College will be a Dean, reporting directly to the Vice President for Academic Affairs (VPAA), and enjoying the same authority and status as other deans within the University structure.

B. Selection of the Dean

1. In accordance with the Report of the Joint Task Force on the College of Professional Studies dated September 1, 2000, the Dean will be selected by the President, in consultation with the VPAA, the College Faculty, and the deans of the schools most likely to be affected by the College, namely GSEHD, SEAS, SBPM, CCAS, ESIA, and SPHHS.
2. In the event that other schools eventually develop cooperative arrangements with the College, or are otherwise engaged in its work, they will participate equally in the selection of the Dean of the College.

C. Periodic Review of the Dean

1. At the end of every third year following a Dean's assumption of office, the Dean's Council shall design and administer a process for evaluating the Dean's performance.
2. The Dean's Council shall ensure that all College faculty members have ample opportunity to express their views of the Dean's performance.
3. The criteria shall be the Dean's success in leading the College toward the accomplishment of its mission, plus such other factors that have become salient, including any matters on which the Dean may specifically desire commentary.
4. The results of the evaluation shall be communicated in detail to the Dean. A copy of the review shall be sent to the Vice President for Academic Affairs.

D. Faculty Administrative Officers

Faculty administrative officers of the College, including but not limited to Assistant and Associate Deans, shall be appointed by the Dean after consultation with the Dean's Council and the faculty.

E. Dean's Council

1. Purpose of Dean's Council

This Council along with the Faculty Working Groups (as described in Item G below) is designed to insure sufficient input from the faculty of the collaborating schools and the dissemination of information about the College throughout the University community.

2. Dean's Council Membership

- a. In accordance with the Report of the Joint Task Force on the College of Professional Studies dated September 1, 2000, membership of the Dean's Council consists of the following: (1) one tenured faculty member from each school that may offer programs through the College, elected by the faculties of the respective schools; (2) three chairs of departments with faculty participating in the current offerings of the College, to be appointed by the Dean of the College, and (3) three non-tenure-accruing faculty from among those participating in the current offerings of the College, to be appointed by the Dean of the College.
- b. Members of the Dean's Council will serve staggered three-year terms with initial terms as outlined in the aforementioned Report in Item 2a.
- c. In the event that the Dean and members of the Dean's Council are convinced that any particular member of the Dean's Council is no longer discharging her/his obligations including regular attendance at meetings, she or he may be removed from the Dean's Council by a majority vote of those present provided there is a quorum. A quorum is one half of the members as stated in Item E.2.a.

3. Election of Dean's Council Chair

- a. The Dean's Council shall elect a chair annually from among its membership and the chair in consultation with the Dean of the College shall determine the frequency and scheduling of its meetings and the agendas.
- b. Additional meetings or agenda items may be requested of the chair of the Dean's Council by the Dean or by petition of 50 percent of the voting members of the College faculty.

4. Functions and Goals

The Dean's Council shall:

- a. act as a liaison between the College or affected school faculty and the Dean.
- b. advise and make recommendations to the Dean on the establishment of new degree programs.
- c. advise the Dean on all academic matters affecting the welfare of the College.
- d. advise the Dean on appointments of Associate Deans and Program Directors.
- e. execute the review of the Dean.
- f. review periodically (at minimum every three years) each College course of studies to determine whether it should remain in the College, be transferred to one of the other schools, or be terminated.
- g. act on behalf of the College faculty on any matter within the faculty's jurisdiction which may require action between the meetings of the faculty. The Dean's Council shall report through the Dean to the College faculty at the stated meetings of the faculty a summary of actions taken on behalf of the faculty since the last report.
- h. serve in an agenda-making capacity to prepare such actions and proposals as the Dean or the Council itself may wish to present to a meeting of the faculty.
- i. serve as a policy review body to assist the Dean in resolving specific programmatic problems and as a policy planning body to explore and define future programmatic and faculty recruitment directions.
- j. nominate candidates for election to the Appointment and Promotion Committee and to the Faculty Senate.
- k. appoint such other committees as will assist it in the performance of its functions.
- l. be the principal committee of the College faculty on all disciplinary matters.
- m. advise the Dean on student appeals concerning petitions relating to academic status or requirements.

5. Dean's Council Meeting Schedule

The Dean's Council shall meet at least once each month unless it decides to alter the frequency according to its needs by majority vote.

F. College Faculty/Program Directors

1. College faculty may serve as Program Directors in conjunction with specific programs arising out of the College's strategic partnerships and projects, and report directly to the Associate Deans. Program Directors also may include faculty from existing schools of the University. While functioning primarily as program developers, their faculty status will assure quality controls within that program and enhance the credibility of the program with prospective clients, as well as help ensure non-duplication of existing University programs. Faculty participation should serve to preserve and encourage rigorous academic measures such that the College may be expected to uphold traditional Middle States accreditation standards. New programs may have new faculty become part of the College whereas faculty serving as Program Directors for the College and already affiliated with existing schools will retain existing school affiliations.
2. When a potential organizational client or partner prefers or anticipates a degree, the Associate Deans will investigate with the Faculty Working Group (as described in Item G below) the possibility of offering an existing degree or a joint degree with a relevant school before the College initiates its own degree, ensuring non-duplication of existing programs. The resulting CPS degree would be administered by a Program Director and would be in Professional Studies (with a concentration in a specified field) and could be granted at the associate, bachelor, undergraduate certificate, master, or graduate certificate level.
3. The College faculty and Program Directors shall be appointed to programs leading to a degree by the Dean from a list of candidates recommended by a majority of the Dean's Council. In all cases, the College faculty will serve a contractual term (which may be renewed) and will not be eligible for tenure within the College.
4. The faculty in the College shall be defined as provided in the *Faculty Code*. To preserve and encourage rigorous academic standards, the faculty shall determine and direct all matters relating to the educational policies and programs leading to degrees awarded by the College, within parameters established by the Dean's Council, Trustees, the University, the Faculty Code, and the Report of the Joint Task Force on the College of Professional Studies dated September 1, 2000.

The faculty powers include:

- a. determining requirements for admission to the College's programs and requirements for maintaining good academic standing.
- b. approving the eligibility of candidates to receive degrees in Professional Studies before convocations.
- c. participating in decisions regarding the addition, deletion, or revision of programs and curricula.

- d. participating in the innovative research and analytical services of the College.
- e. participating in the search for a Dean as the need arises.
- f. participating in the search for additional faculty as the need arises.

Recognizing that at the time of original adoption of these Bylaws that there are no faculty appointments in the College, the Dean's Council may assume these powers until such time as there are at least three regular faculty members appointed to the College.

G. Faculty Working Group

1. A Faculty Working Group (FWG), consisting of regular full-time, part-time, and adjunct faculty from the College or the other schools and outside experts as appropriate, with relevant program-specific expertise and skills, will work with the Associate Deans and the respective Program Director in every College program that leads to or is intended to lead to a degree. Additionally, a FWG may be created for projects not leading to a degree.
2. Should a conflict arise regarding program duplication between the College and an existing program, the relevant deans will resolve the issue in a reasonable and rapid manner, after full and transparent consultation with the relevant faculty, with final review, if needed, by the Vice President for Academic Affairs.
3. Members of each FWG shall be appointed by the Dean in consultation with the Associate Deans and Dean's Council according to the terms included in the Report of the Joint Task Force on the College of Professional Studies dated September 1, 2000.
4. In the event that the Dean and a majority of the Dean's Council are convinced that any particular member of the FWG is no longer discharging her/his fiduciary obligations, she or he may be removed from the FWG.

H. Committee of Program Directors

The Dean may appoint an associate dean to act as convener and chief administrative officer of a Committee of Program Directors which shall meet, normally once a month, or according to needs, during the academic year, to consider and make recommendations to the Dean on matters of common concern.

IV. Voting Membership

- A. Voting membership shall consist of the Dean, regular and adjunct faculty budgeted to the College, and faculty of other schools who have been appointed Program Directors of programs offered by the College. The Dean's vote will be executed only in the event of a tie vote.
- B. Non-voting ex officio membership in the College faculty is extended to the President of the University, the Vice President for Academic Affairs, members of the Dean's Council who are not otherwise eligible for voting membership (such as ex officio members).
- C. Non-voting membership in the faculty is extended to retired members of the faculty and part-time temporary instructors or full-time visiting or limited service faculty who are not accorded voting membership as provided in paragraph A above.

V. Appointment and Reappointment of Faculty

TBD

The College and its Dean's Council will work to draft this section by the end of the 2002-2003 academic year or before hiring any faculty, whichever comes first.

VI. Criteria for Appointment, Reappointment, and Promotion of College Faculty

TBD

The College and its Dean's Council will work to draft this section by the end of the 2002-2003 academic year or before hiring any faculty, whichever comes first.

VII. Faculty Meetings

- 1. At least two meetings of the full College faculty will be held per year, one each fall and spring terms. The Dean shall fix the date of the meetings and give reasonable

notice to all members and other parties who may be invited because of their interest in the agenda. The Dean or Dean's designate shall preside over the meetings and shall appoint a recorder to keep minutes.

2. Additional meetings may be called as necessary by the Dean, who shall fix the date and agenda and give reasonable notice to all faculty members. Additional meetings may also be called by the Dean's Council or by petition of at least 20 percent of voting members of the faculty to the Dean.
3. Fifty percent of voting members shall constitute a quorum. Except where otherwise noted, decisions of the faculty must be adopted by a majority of those present and voting.
4. The rules contained in the current edition of Robert's Rules of Order Newly Revised shall govern the faculty in all cases to which they are applicable and in which they are not inconsistent with these bylaws and any special rules of order the faculty may adopt. The Dean or Dean's designate presiding may, during any meeting, appoint a parliamentarian, who may advise on a ruling or on proper methods of procedure.

VIII. Amendment to Bylaws

These Bylaws may be amended by a two-thirds vote of the College faculty present and voting at a stated meeting. In the absence of College faculty, the Bylaws may be amended by a vote of two-thirds of the Dean's Council. Proposed amendments shall be circulated with the call for the meeting. As with all School and Department Bylaws, their final approval resides with the Vice President for Academic Affairs after review by the Office of General Counsel.

IX. Publication of Bylaws

A copy of these Bylaws and any amendments to them shall be furnished to every new member of the College faculty and to the Faculty Senate Office.

APPENDIX C

COLLEGE OF PROFESSIONAL STUDIES DESCRIPTION AND STAFF

The George Washington University's College of Professional Studies (CPS) was created to meet the complex learning needs of organizations in unique ways not currently addressed by institutions of higher education. GW authorized CPS as its newest college to co-design and co-develop degree programs with curriculum objectives drawn predominantly from the competency requirements relevant to the employees of partnering organizations. The results are customized educational programs offered in contract format (not open enrollment).

CPS programs are designed with the requirements of adult learners and working professionals in mind. The purpose is to make available a range of delivery modes, varying from asynchronous online (Distance Learning) to in-person (traditional), that are the most suitable to the needs of client organizations. The curriculum is specifically developed to meet the needs of individual organizations while preserving the academic integrity and quality that is associated with the GW degree brand name.

With the availability of both in-house and outside expertise, GW's CPS is uniquely positioned to address these organizational needs through development capabilities allowing the most suitable delivery of education to fill the necessary gaps in the industry's workforce needs.

CPS is authorized to grant Associate, Bachelor's, and Master's degrees, as well as undergraduate and graduate certificates. The following features distinguish the CPS approach to curriculum development from the more traditional programs:

- Focus on organizational learning needs
- Customized curricula, co-designed with partner organizations
- Modularized curricula
- Flexible and multiple delivery formats
- Outcome-based program assessment

The modularization of the curriculum into the smallest 1-credit educational units defined by competencies and outcome expectations affords flexibility to adult learners and supports appropriate curricular customization to meet the organizational needs of CPS partners. Use of outcome-based program assessments will ensure quality control and provide correction mechanisms, as needed, to achieve the desired educational outcome.

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APPENDIX D

FY02 Final Budget Report for Off-Campus Programs and the College of Professional Studies

FY02 CLOSEOUT FOR OFF CAMPUS PROGRAMS

SCHOOLS	REVENUE			EXPENSE			BUDGET		
	BUDGET	ACTUALS	VARIANCE	BUDGET	ACTUALS	VARIANCE	NET	ACTUAL NET	VARIANCE
CSAS	3,744,055	3,671,217	(72,838)	2,390,284	2,018,542	371,742	1,353,771	1,652,675	298,904
CSHHD	5,192,817	6,055,638	862,821	2,637,963	2,446,738	191,225	2,554,854	3,608,900	1,054,046
SBPM	6,208,140	5,298,570	(909,570)	3,867,638	3,215,963	651,675	2,340,502	2,082,607	(257,895)
SEAS	3,564,394	4,037,431	473,037	1,698,030	1,334,080	363,950	1,866,364	2,703,351	836,987
TOTAL NET INCOME	18,709,406	19,062,856	353,450	10,593,915	9,015,323	1,578,592	8,115,491	10,047,533	1,932,042
ADMN EXPENSE									
CPS -Off Cmp Admn.*	148,766	-	(148,766)	2,100,322	2,643,034	(542,712)	(1,951,556)	(2,643,034)	(691,478)
CPS Library	-	-	-	-	1,817	(1,817)	-	(1,817)	(1,817)
HAMPTON	-	-	-	605,684	503,399	102,285	(605,684)	(503,399)	102,285
VIRGINIA SQUARE	-	-	-	296,533	393,680	(97,147)	(296,533)	(393,680)	(97,147)
ALEXANDRIA	-	-	-	314,718	214,118	100,600	(314,718)	(214,118)	100,600
TOTAL	148,766	-	(148,766)	3,317,257	3,756,048	(438,791)	(3,168,491)	(3,756,048)	(587,557)
RENT EXPENSE									
VIRGINIA SQUARE	-	-	-	663,822	727,617	(63,795)	(663,822)	(727,617)	(63,795)
HAMPTON	-	-	-	325,000	334,569	(9,569)	(325,000)	(334,569)	(9,569)
ALEXANDRIA	-	-	-	277,237	300,448	(23,211)	(277,237)	(300,448)	(23,211)
TOTAL	-	-	-	1,266,059	1,362,634	(96,575)	(1,266,059)	(1,362,634)	(96,575)
GRAND TOTAL	18,858,172	19,062,856	204,684	15,177,231	14,134,005	1,043,226	3,680,941	4,928,851	1,247,910
*Programs excluded from R. Whitaker's division:									
ED TECH LEADERSHIP	695,625	691,328	(4,297)	510,434	313,070	197,364	190,239	378,258	188,019
SINGAPORE (CSHHD)	56,500	44,232	(12,268)	43,565	44,853	(1,288)	12,935	(621)	(13,556)
EVENT MANAGEMENT (SBPM)	1,093,000	1,054,395	(38,605)	926,765	863,464	63,301	161,447	190,931	29,484
EVENT MANAGEMENT-OTHER (SBPM)	-	-	-	-	4,580	(4,580)	-	(4,580)	(4,580)
TOTAL	1,845,125	1,789,955	(55,170)	1,480,764	1,225,967	254,797	364,621	563,988	199,367
GRAND TOTAL	20,703,297	20,852,811	149,514	16,657,995	15,359,972	1,298,023	4,045,562	5,492,839	1,447,277

RECRUITMENT AND RETENTION OF WOMEN FACULTY AND FACULTY OF COLOR

**Report to the Faculty Senate
by the
Executive Vice President for Academic Affairs¹
March 14, 2003**

PURPOSE

This report outlines the current status of the recruitment, appointment, promotion, tenure, retention of, and the climate for women faculty and faculty of color at the University. In the spirit of Faculty Senate Resolutions 89/13 and 90/7, this report is provided to inform decisions regarding future activity in these areas.

THE STATE OF RECRUITMENT AND RETENTION AT GW

The data, upon which this and subsequent tables and attachments are based, were provided by the Office of Institutional Research. The data do not include deans, administrators with faculty rank, research faculty, visiting faculty (except where noted), affiliated faculty², or non-tenure accruing instructors in SMHS.

RECRUITMENT ACTIVITY

In 2001-02, two hundred sixty-five (265) authorized searches (168 national searches for regular faculty and 67 modified searches for visiting faculty) for appointments effective with the 2002-03 academic year resulted in 158 hires. Ninety-nine (99) were regular full-time appointments and fifty-nine (59) were visiting appointments. Tables 1 and 2A provide in detail the outcome of this activity.

Table 1 describes this year's new regular active-status faculty. There were 9 fewer new hires in 2002-03 than in 2001-02, a decrease of 8%. This year, 35% of the 99 new faculty hires are women and 28% are faculty of color, compared to 55% and 28%, respectively, last year.

- For the first time, two American Native faculty are among the newly hired faculty.

¹ The EVPAA is grateful to the Assistant Vice President for Faculty Recruitment and the Assistant Vice President for Institutional Research for their major contributions to the compilation and preparation of this report.

² The GW Medical Faculty Associates (MFA) is an independent nonprofit clinical practice group affiliated with the University. Under the affiliation agreement, because they have appointments in the SM&HS, MFA recruit faculty under GW policies and procedures. Therefore, the MFA faculty are included in the report.

TABLE 1
New Full-Time Faculty
October 1, 2001 through September 30, 2002

	MEN		WOMEN		TOTAL	
White	46		24		70	
Black	3		3		6	
Asian	9		4		13	
Hispanic	4		3		7	
Am. Native	1		1		2	
Unknown	1		0		1	
TOTAL	64	64.6%	35	35.4%	99	
Minorities	17	26.6%	11	31.4%	28	28.3%

Table 2A shows the total number of new faculty in "visiting" positions. These temporary positions allow us to meet emergency staffing needs or to cover the absence of faculty on sabbatical or other leaves. University policy prevents individuals from holding a "visiting" position for more than two (2) academic years.

TABLE 2A
New Visiting Appointments
October 1, 2001 through September 30, 2002

	MEN		WOMEN		TOTAL	
White	32		16		48	
Black	0		3		3	
Asian	4		1		5	
Hispanic	1		1		2	
Am. Native	0		0		0	
Unknown	1		0		1	
TOTAL	38	64.4%	21	35.6%	59	
Minorities	5	13.2%	5	23.8%	10	16.9%

Table 2B shows the total number of individuals in "visiting" positions. An additional 12 faculty fueled the 16.2% growth in these positions. However, this represents an increase of 17 (51.5%) men and a decrease of 5 women (-12.2%).

TABLE 2B
All Visiting Appointments
Academic Year 2002/03

	MEN		WOMEN		TOTAL	
White	41		28		69	
Black	0		3		3	
Asian	4		4		8	
Hispanic	3		1		4	
Am. Native	0		0		0	
Unknown	2		0		2	
TOTAL	50	58.1%	36	41.9%	86	
Minorities	7	14.0%	8	22.2%	15	17.4%

Table 3 shows changes that occurred in the faculty profile from 2001-02 to 2002-03. Overall, there was moderate growth in the number of full-time faculty (29 faculty members or 2.8%). The increase in the number of white women faculty and faculty of color (8 and 17, respectively) accounts for 86% of the increase. It is also worth highlighting the fact that faculty of color as a percentage of the total faculty population increased from 16% to 18%.

TABLE 3
Full-time Faculty and Percent Change Between
Academic Years 2001/02 and 2002/03

	MEN			WOMEN			TOTAL		
	02/03 Number	Change from 01/02 Percent	Number	02/03 Number	Change from 01/02 Percent	Number	02/03 Number	Change from 01/02 Percent	Number
White	599	1.0%	6	275	3.0%	8	874	1.6%	14
Black	19	18.8%	3	30	11.1%	3	49	14.0%	6
Asian	75	10.3%	7	36	-2.7%	-1	111	5.7%	6
Hispanic	11	10.0%	1	13	18.2%	2	24	14.3%	3
Am. Native	1	100.0%	1	1	100.0%	1	2	200.0%	2
Unknown	1	-66.7%	-2	0	0.0%	0	1	-66.7%	-2
Total	706	2.3%	16	355	3.8%	13	1061	2.8%	29
Minorities	106	12.8%	12	80	6.7%	5	186	10.1%	17

Table 4 compares the faculty profile in 1988-89 and 2002-03 and shows the degree of success we achieved in enriching faculty diversity. Over the fourteen-year period, the total number of faculty members increased by 187 (21.4 %). While the number of White men decreased (1.8% or 11 faculty members) during the period, the number of women faculty and faculty of color grew substantially (64.4% or 139 and 151.4% or 112, respectively). Although we continue to show long-term gains in the number of women faculty and faculty of color, we must increase our efforts to achieve further diversity, particularly in the number of Black and Hispanic faculty members.

TABLE 4
Full-Time Faculty and Percent Change Between
Academic Years 1988/89 and 2002/03

	MEN				WOMEN			TOTAL	
	02/03 Number	Change from 88/89 Percent	02/03 Number	02/03 Number	Change from 88/89 Percent	02/03 Number	02/03 Number	Change from 88/89 Percent	Number
White	599	-1.8%	-11	275	55.4%	98	874	11.1%	87
Black	19	137.5%	11	30	275.0%	22	49	206.3%	33
Asian	75	158.6%	46	36	125.0%	20	111	146.7%	66
Hispanic	11	0.0%	0	13	550.0%	11	24	84.6%	11
Am. Native	1	N/A	1	1	N/A	1	2	N/A	2
Unknown	1	N/A	1	0	0.0%	0	1	0.0%	1
Total	706	7.3%	48	355	64.4%	139	1061	21.4%	187
Minorities	106	120.8%	58	80	207.7%	54	186	151.4%	112

Table 5 and Table 6 provide a ten-year view of the number of faculty promoted and/or awarded tenure or who left the University prior to their tenure review. Between 1992-93 and 2002-03, 213 faculty members were awarded tenure. Also during this period, 90 faculty members left prior to their tenure notification date, 60 men and 30 women. Of those leaving prior to their tenure notification date, 13 were faculty of color. During 2001-02, the breakdown of faculty leaving prior to their tenure review is as follows: 7 men and 3 women, including 2 Asians.

TABLE 5
Faculty Promoted and Awarded Tenure 1992/93 to 2001/02 (aggregate)
By Race and Sex
Promote*

	MALE	FEMALE	TOTAL	MINORITY	BLACK	ASIAN	HISPANIC
Arts & Sciences	95	55	150	24	4	17	3
GSEHD	5	17	22	4	1	1	2
SEAS	27	5	32	13	0	12	1
SBPM	29	17	46	10	1	8	1
LAW	17	8	25	3	2	0	1
SMHS	53	46	99	16	5	8	3
SPHHS	8	3	11	1	0	0	1
TOTAL	234	151	385	71	13	46	12

Awarded Tenure*

	MALE	FEMALE	TOTAL	MINORITY	BLACK	ASIAN	HISPANIC
Arts & Sciences	59	34	93	21	3	15	3
GSEHD	4	9	13	3	1	0	2
SEAS	20	6	26	10	0	9	1
SBPM	27	8	35	9	1	7	1
LAW	13	6	19	1	0	0	1
SMHS	17	10	27	3	2	1	0
SPHHS	0	0	0	0	0	0	0
TOTAL	140	73	213	47	7	32	8

*Faculty who are tenured appear in both charts.

**Arts and Sciences includes both CCAS and ESIA.

TABLE 6
Tenure-Track Non-Tenured Faculty Terminating 1992/93 to 2001/02 (aggregate)
By Race and Sex
Left Before Tenure Notification Date

	MALE	FEMALE	TOTAL	MINORITY	BLACK	ASIAN	HISPANIC
Arts & Sciences	28	13	41	3	0	1	2
GSEHD	0	2	2	0	0	0	0
SEAS	7	1	8	2	0	1	1
SBPM	8	2	10	5	0	5	0
LAW	0	0	0	0	0	0	0
SMHS	17	12	29	3	0	1	2
SPHHS	0	0	0	0	0	0	0
TOTAL	60	30	90	13	0	8	5

We continue our efforts to prevent attrition that might result from climate problems (i.e., isolation, mentoring, etc.) and development and support issues. Over the past few years, we have worked closely with the Council of Deans and advisory committees to preserve and enhance initiatives that promote a positive and supportive work environment. (See Campus Climate)

FACULTY RETENTION

During the period 10/1/01 and 9/30/02, fifty-one regular active status faculty left the University. Reasons for leaving included retirement, completion of temporary appointment, non-reappointment, move to part-time appointment, denial of tenure, etc. (See Appendix H1— the chart that excludes visiting faculty.)

Of the faculty leaving the University, thirty-two were men and nineteen were women. Seven faculty of color left: five Asians (3 men and 2 women), one Black man, and one Hispanic man. Of the faculty of color leaving, all seven resigned.

Of the seventeen White women faculty leaving the University, seven resigned, two retired, one moved to an affiliated position, two accepted another position, three moved to part-time, and two had contracts that ended.

INSTITUTIONAL PROFILE

On the following pages, we present the current institutional profile of GW faculty. A more comprehensive, disaggregated, school-by-school analysis of the data is located in Appendices C and F to this report.

Tables 7, 7A, and 7B profile the regular full-time faculty by contract status. Specifically, these Tables show that:

- While 67% of the regular faculty are men, they occupy 73% of the tenure-track positions and 55% of the non-tenure-track positions. Women comprise 33% of the faculty and hold 27% of the tenured or tenure-track positions and a disproportionate 45% of the non-tenure-track positions. Eighteen percent of the regular faculty are faculty of color, but they hold 15% of the tenure/tenure-track positions and 23% of the non-tenure-track positions.
- Eighty-five percent of the tenured and tenure-track positions are in the non-medical schools, while non-tenure-track positions are almost evenly divided between the medical and non-medical schools.

Table 7
Total Faculty
Tenured & Tenure Track Positions Combined

	MEN			WOMEN			TOTAL		
	02/03 Number	Change from 01/02 Percent	02/03 Number	02/03 Number	Change from 01/02 Percent	02/03 Number	02/03 Number	Change from 01/02 Percent	02/03 Number
White	446	1.6%	7	151	4.1%	6	597	2.2%	13
Black	9	12.5%	1	14	0.0%	0	23	4.5%	1
Asian	47	4.4%	2	19	11.8%	2	66	6.5%	4
Hispanic	5	0.0%	0	8	14.3%	1	13	8.3%	1
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	1	-50.0%	-1	0	N/A	0	1	-50.0%	-1
Total	508	1.8%	9	192	4.9%	9	700	2.6%	18
Minorities	61	5.2%	3	41	28.1%	9	102	6.3%	6

Non-Tenure Track

	MEN			WOMEN			TOTAL		
	02/03 Change from 01/02		Number	02/03 Change from 01/02		Number	02/03 Change from 01/02		Number
	Number	Percent		Number	Percent		Number	Percent	
White	153	-0.6%	-1	124	1.6%	2	277	0.4%	1
Black	10	25.0%	2	16	23.1%	3	26	23.8%	5
Asian	28	21.7%	5	17	-15.0%	-3	45	4.7%	2
Hispanic	6	20.0%	1	5	0.0%	1	11	22.2%	2
Am. Native	1	N/A	1	1	N/A	1	2	N/A	2
Unknown	0	-100.0%	-1	0	N/A	0	0	-100.0%	-1
Total	198	3.7%	7	163	2.5%	4	361	3.1%	11
Minorities	45	21.6%	8	39	5.4%	2	84	13.5%	10

Table 7A
Non-Medical Faculty Tenured & Tenure-Track Positions Combined

	MEN			WOMEN			TOTAL		
	02/03 Change from 01/02		Number	02/03 Change from 01/02		Number	02/03 Change from 01/02		Number
	Number	Percent		Number	Percent		Number	Percent	
White	366	1.4%	5	132	4.8%	6	498	2.3%	11
Black	8	14.3%	1	13	0.0%	0	21	5.0%	1
Asian	44	4.8%	2	16	14.3%	2	60	7.1%	4
Hispanic	4	-20.0%	-1	8	14.3%	1	12	0.0%	0
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	1	-50.0%	-1	0	N/A	0	1	-50.0%	-1
Total	423	1.4%	6	169	5.6%	9	592	2.6%	15
Minorities	56	3.7%	2	37	8.8%	3	93	5.7%	5

Non-Tenure Track

	MEN			WOMEN			TOTAL		
	02/03Change from 01/02		Number	02/03Change from 01/02		Number	02/03Change from 01/02		Number
	Number	Percent		Number	Percent		Number	Percent	
White	77	-4.9%	-4	68	1.5%	1	145	-2.0%	-3
Black	5	66.7%	2	5	66.7%	2	10	66.7%	4
Asian	14	16.7%	2	5	-16.7%	-1	19	5.6%	1
Hispanic	5	25.0%	1	2	100.0%	1	7	40.0%	2
Am. Native	1	N/A	1	1	N/A	1	2	N/A	2
Unknown	0	N/A	0	0	N/A	0	0	N/A	0
Total	102	2.0%	2	81	5.2%	4	183	3.4%	6
Minorities	25	31.6%	6	13	30.0%	3	38	31.0%	9

Table 7B
Medical Faculty Tenured & Tenure-Track Positions Combined

	MEN			WOMEN			TOTAL		
	02/03Change from 01/02		Number	02/03Change from 01/02		Number	02/03 Change from 01/02		Number
	Number	Percent		Number	Percent		Number	Percent	
White	80	2.6%	2	19	0.0%	0	99	2.1%	2
Black	1	0.0%	0	1	0.0%	0	2	0.0%	0
Asian	3	0.0%	0	3	0.0%	0	6	0.0%	0
Hispanic	1	N/A	1	0	N/A	0	1	N/A	1
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	0	N/A	0	0	N/A	0	0	N/A	0
Total	85	3.7%	3	23	0.0%	0	108	2.9%	3
Minorities	5	25.0%	1	4	0.0%	0	9	12.5%	1

Non-Tenure-Track

	MEN			WOMEN			TOTAL		
	02/03	Change from 01/02		02/03	Change from 01/02		02/03	Change from 01/02	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	76	0.0%	3	56	1.8%	1	132	0.8%	1
Black	5	0.0%	0	11	10.0%	1	16	6.7%	1
Asian	14	27.3%	3	12	-14.3%	-2	26	4.0%	1
Hispanic	1	0.0%	0	3	0.0%	0	4	0.0%	0
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	0	-100.0%	-1	0	N/A	0	0	-100.0%	-1
Total	96	2.1%	5	82	0.0%	0	178	1.1%	2
Minorities	20	17.6%	3	26	-3.7%	-1	46	4.5%	2

Tables 8, 8A, and 8B profile the regular, full-time faculty by rank—senior and junior positions. It is interesting to note that:

- The senior faculty in the medical schools consists of 22% women and 78% men (unchanged from last year). The senior faculty in the non-medical schools consists of 25% women and 75% men (a slight increase in percentage of women over last year).
- The distribution of junior faculty in medical and non-medical schools also differs—the junior faculty in medical schools consists of 56% women and 44% men; junior faculty in non-medical schools consists of 48% women and 52% men. The percentage of women faculty in junior ranks decreased slightly in both groups.
- Fourteen percent of senior faculty in both medical and non-medical schools are people of color, while 25% of the medical junior faculty and 23% of the non-medical junior faculty are people of color.
- Last year, the junior faculty gender distribution was 53% women and 47% men. This year the split is 51% women and 49% men.
- While women faculty and faculty of color combined account for 43% of the regular faculty, they occupy 36% of the tenure/tenure-track positions, 58% of the non-tenure-track positions, 34% of the full and associate professor positions, and 63% of the assistant professor and instructor positions.

Table 8
Total Faculty
Senior Ranks – Professor and Associate Professor

	MEN			WOMEN			TOTAL		
	02/03 Number	Change from 01/02 Percent	02/03 Number	02/03 Number	Change from 01/02 Percent	02/03 Number	02/03 Number	Change from 01/02 Percent	02/03 Number
White	467	-1.7%	-8	137	5.4%	7	604	-0.2%	-1
Black	11	22.2%	2	13	8.3%	1	24	14.3%	3
Asian	46	9.5%	4	17	0.0%	0	63	6.8%	4
Hispanic	7	16.7%	1	7	0.0%	0	14	7.7%	1
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	1	N/A	1	0	N/A	0	1	N/A	1
Total	532	0.0%	0	174	4.8%	8	706	1.1%	8
Minorities	64	12.3%	7	37	2.8%	1	101	8.6%	8

Table 8
Total Faculty
Junior Ranks – Assistant Professor and Instructor

	MEN			WOMEN			TOTAL		
	02/03 Number	Change from 01/02 Percent	02/03 Number	02/03 Number	Change from 01/02 Percent	02/03 Number	02/03 Number	Change from 01/02 Percent	02/03 Number
White	132	11.9%	14	138	0.7%	1	270	5.9%	15
Black	8	14.3%	1	17	13.3%	2	25	13.6%	3
Asian	29	11.5%	3	19	-5.0%	-1	48	4.3%	2
Hispanic	4	0.0%	0	6	50.0%	2	10	25.0%	2
Am. Native	1	N/A	1	1	N/A	1	2	N/A	2
Unknown	0	-100.0%	-3	0	N/A	0	0	100.0%	-3
Total	174	10.1%	16	181	2.8%	5	355	6.3%	21
Minorities	42	13.5%	5	43	10.3%	4	85	11.8%	9

Table 8A
Non-Medical Faculty Senior Ranks – Professor and Associate Professor

	MEN			WOMEN			TOTAL		
	02/03 Change from 01/02		Number	02/03 Change from 01/02		Number	02/03 Change from 01/02		Number
	Number	Percent		Number	Percent		Number	Percent	
White	354	-1.9%	-7	113	6.6%	7	467	0.0%	0
Black	9	28.6%	2	9	12.5%	1	18	20.0%	3
Asian	38	8.6%	3	11	0.0%	0	49	6.5%	3
Hispanic	5	0.0%	0	6	0.0%	0	11	0.0%	0
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	1	N/A	1	0	N/A	0	1	N/A	1
Total	407	-0.2%	-1	139	6.1%	8	546	1.3%	7
Minorities	52	10.6%	5	26	4.0%	1	78	8.3%	6

Table 8A
Non-Medical Faculty Junior Ranks – Assistant Professor and Instructor

	MEN			WOMEN			TOTAL		
	02/03 Change from 01/02		Number	02/03 Change from 01/02		Number	02/03 Change from 01/02		Number
	Number	Percent		Number	Percent		Number	Percent	
White	89	9.9%	8	87	0.0%	0	176	4.8%	8
Black	4	33.3%	1	9	12.5%	1	13	18.2%	2
Asian	20	5.3%	1	10	11.1%	1	30	7.1%	2
Hispanic	4	0.0%	0	4	100.0%	2	8	33.3%	2
Am. Native	1	N/A	1	1	N/A	1	2	N/A	2
Unknown	0	-100.0%	-2	0	N/A	0	0	-100.0%	-2
Total	118	8.3%	9	111	4.7%	5	229	6.5%	14
Minorities	29	11.5%	3	24	26.3%	5	53	17.8%	8

Table 8B
Medical Faculty Senior Ranks – Professor and Associate Professor

	MEN			WOMEN			TOTAL		
	02/03 Change from 01/02		Number	02/03 Change from 01/02		Number	02/03 Change from 01/02		Number
	Number	Percent		Number	Percent		Number	Percent	
White	113	-0.9%	-1	24	0.0%	0	137	-0.7%	-1
Black	2	0.0%	0	4	0.0%	0	6	0.0%	0
Asian	8	14.3%	1	6	0.0%	0	14	7.7%	1
Hispanic	2	100.0%	1	1	0.0%	0	3	50.0%	1
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Total	125	0.8%	1	35	0.0%	0	160	0.6%	1
Minorities	12	20.0%	2	11	0.0%	0	23	9.5%	2

Table 8B
Medical Faculty Junior Ranks – Assistant Professor and Instructor

	MEN			WOMEN			TOTAL		
	02/03 Change from 01/02		Number	02/03 Change from 01/02		Number	02/03 Change from 01/02		Number
	Number	Percent		Number	Percent		Number	Percent	
White	43	7.5%	3	51	2.0%	1	94	4.4%	4
Black	4	0.0%	0	8	14.3%	1	12	9.1%	1
Asian	9	28.6%	2	9	-18.2%	-2	18	0.0%	0
Hispanic	0	N/A	0	2	0.0%	0	2	0.0%	0
Am. Native	0	N/A	0	0	0.0%	0	0	N/A	0
Unknown	0	-100.0%	-1	0	N/A	0	0	-100.0%	-1
Total	56	7.7%	4	70	0.0%	0	126	3.3%	4
Minorities	13	18.2%	2	19	-5.0%	-1	32	3.2%	1

Tables 9, 9A, and 9B give a comprehensive profile of tenure and rank status. Overall, the regular full-time faculty consists of 33% women, 67% men, and 18% people of color. The non-medical faculty consists of 32% women, 68% men and 17% people of color. The medical faculty consists of 37% women, 63% men and 19% people of color.

The Medical Faculty Associates component of medical faculty consists of 35% women, 65% men and 24% people of color. (See Table 9C.)

Table 9
Total Faculty

	By Tenure Status						By Rank			
	Total		Tenure/Tenure Track		Non-Tenure-Track		Senior Ranks		Junior Ranks	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Total	1061	100%	700	100%	361	100%	706	100%	355	100%
Women	355	33%	192	27%	163	45%	174	25%	181	51%
Men	706	67%	508	73%	198	55%	532	75%	174	49%
White	874	82%	597	85%	277	77%	604	86%	270	76%
Black	49	5%	23	3%	26	7%	24	3%	25	7%
Asian	111	10%	66	9%	45	12%	63	9%	48	14%
Hispanic	24	2%	13	2%	11	3%	14	2%	10	3%
Am. Native	2	0%	0	0%	2	1%	0	0%	2	1%
Unknown	1	0%	1	0%	0	0%	1	0%	0	0%
Minorities	186	18%	102	15%	84	23%	101	14%	85	24%

**Table 9A
Non-Medical Faculty**

	By Tenure Status						By Rank			
	Total		Tenure/Tenure Track		Non-Tenure-Track		Senior Ranks		Junior Ranks	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Total	778	100%	592	100%	186	100%	546	100%	232	100%
Women	250	32%	169	29%	81	44%	139	25%	111	48%
Men	528	68%	423	71%	105	56%	407	75%	121	52%
White	646	83%	498	84%	148	80%	467	86%	179	77%
Black	31	4%	21	4%	10	5%	18	3%	13	6%
Asian	79	10%	60	10%	19	10%	50	9%	29	13%
Hispanic	19	2%	12	2%	7	4%	11	2%	8	3%
Am. Native	2	1%	0	0%	2	2%	0	0%	2	2%
Unknown	1	0%	1	0%	0	0%	1	0%	0	0%
Minorities	131	17%	93	16%	38	20%	79	14%	52	22%

**Table 9B
Medical Faculty**

	By Tenure Status						By Rank			
	Total		Tenure/Tenure Track		Non-Tenure-Track		Senior Ranks		Junior Ranks	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Total	283	100%	108	100%	175	100%	160	100%	123	100%
Women	105	37%	23	21%	82	47%	35	22%	70	57%
Men	178	63%	85	79%	93	53%	125	78%	53	43%
White	228	81%	99	92%	129	74%	137	86%	91	74%
Black	18	6%	2	2%	16	9%	6	4%	12	10%
Asian	32	11%	6	6%	26	15%	13	8%	19	15%
Hispanic	5	2%	1	1%	4	2%	3	2%	2	2%
Am. Native	0	0%	0	0%	0	0%	0	0%	0	0%
Unknown	0	0%	0	0%	0	0%	0	0%	0	0%
Minorities	55	19%	9	8%	46	26%	22	14%	33	27%

Table 9C
Medical Faculty Associates

	By Tenure Status						By Rank			
	Total Number	Percent	Tenure/Tenure Track Number	Percent	Non-Tenure-Track Number	Percent	Senior Ranks Number	Percent	Junior Ranks Number	Percent
Total	164	100%	41	100%	123	100%	78	100%	86	100%
Women	58	35%	4	10%	54	44%	12	15%	46	53%
Men	106	65%	37	90%	69	56%	66	85%	40	47%
White	125	76%	36	88%	89	72%	63	81%	62	72%
Black	12	7%	1	2%	11	9%	4	5%	8	9%
Asian	24	15%	3	7%	21	17%	9	12%	15	17%
Hispanic	3	2%	1	2%	2	2%	2	3%	1	1%
Am. Native	0	0%	0	0%	0	0%	0	0%	0	0%
Unknown	0	0%	0	0%	0	0%	0	0%	0	0%
Minorities	39	24%	5	12%	34	28%	15	19%	24	28%

In summary, these Tables demonstrate that while we continue to make progress in faculty diversity, our progress is slow and obviously, we cannot relax our efforts.

PART-TIME FACULTY

Appendix I is a profile of limited service part-time faculty by college/school and by gender and ethnicity. The recruitment and appointment of limited service, part-time faculty is governed by the Faculty Code and Handbook and the guidelines established by individual colleges/schools and departments. Typically, a department chair, in consultation with the appropriate regular active status faculty, will establish the need for limited service hires and will recommend appointment through the appropriate dean to the Executive Vice President for Academic Affairs. The department will also establish and recommend the professional qualifications, departmental duties and rank appropriate for these hires. In keeping with University policies and procedures, part-time faculty may be appointed for an academic year (some of whom are regular, benefited) or for one semester only. As is the case for all GW personnel actions, the appointment, compensation, renewal, promotion, termination, and all other terms and conditions of appointment of limited service faculty is based solely on merit and academic need.

The part-time faculty consists of 65% men and 35% women, a distribution similar to the full-time faculty. If we exclude the faculty whose ethnicity is unknown, 15% of the part-time faculty are people of color, a smaller proportion than the 18% full-time. Looking separately at the non-medical faculty, 41% are women compared to 32% of the full-time faculty. On the other hand, people of color make up 14% of the total part-time faculty (with known ethnicity) compared to 18% of the full-time. In the Medical Center, the proportions of women faculty and faculty of color are both less in the part-time faculty than in the full-time faculty.

CAMPUS CLIMATE

The Executive Vice President for Academic Affairs continues to promote initiatives that support faculty and that help to create a genuinely inclusive environment.

Faculty Development and Support

Faculty development, support, and retention continue to be the driving force behind a number of programs and activities. These have included: additional resources and funding for research, the University-wide new faculty orientation, expansion of the orientation program for department chairs and program directors, and targeted salary increases. The Administration, Faculty Senate, Council of Deans and department chairs have focused attention on such issues as the annual evaluation process, flexible contractual arrangements, and the review and revision of departmental by-laws and procedures. The preparation of annual faculty reports is used increasingly as an opportunity for fostering continuing faculty development.

Exit Interviews

Over the past few months the Office of Faculty Recruitment and Personnel Relations (FRPR) has been exploring the pros and cons of an exit interview program to solicit feedback from faculty who voluntarily leave the University. By collecting information on all aspects of a faculty member's association with the University, we would have valuable information that could assist us in reducing turnover and improving the quality of work life for all faculty by:

- Identifying problem areas across the University and within a specific school or department.
- Identifying quality of work life issues.
- Measuring the success of various workplace initiatives (orientations, mentoring programs, etc.).

Presently FRPR is surveying universities (including market basket schools) to gather information about their experience with exit interviews. FRPR's goal is to submit a report on findings, including preliminary recommendations to the Executive Vice President for Academic Affairs by the end of the current academic year.

Climate Survey

Gathering faculty feedback is a fundamental component of the University's continuing efforts to recruit, develop and retain faculty. As a result, periodically the University surveys continuing faculty for information about work life issues. The 1996 Faculty Climate Survey

(distributed to all full-time regular active status faculty) resulted in the administration working with deans, department chairpersons and the Faculty Senate to address the issues raised with reference to mentoring, recruitment practices, promotion and tenure, research support, salary information, faculty networks and "issue" luncheons.

It is now time to repeat this important survey. Over the next few months FRPR will work with Academic Planning and Special Projects and other relevant constituencies to develop a Faculty Climate Survey to be distributed during the 2003-04 academic year. In line with the 1996 Faculty Climate Survey, the new survey will cover such topics as job satisfaction, working conditions, hiring practices, development opportunities, compensation, university policies, etc.

Personnel Relations

On behalf of the Executive Vice President for Academic Affairs, FRPR continues to assist deans, department chairs and faculty by providing information, advice and counsel and policy interpretation. This includes, but is not limited to:

- Helping to ensure that applicable University policies and procedures governing faculty are followed and applied consistently across the University.
- Working with deans and department chairs to address faculty performance issues, complaints, workplace problems/conflicts and assisting them in developing fair and equitable resolutions.
- Confidentially counseling faculty regarding their Code-protected rights and responsibilities and helping them develop appropriate strategies and action plans for dealing with their situations.

Faculty Recruitment Activities

General. FRPR continues to monitor the appointment of faculty and librarians for equal employment opportunity purposes, counsel deans, department chairs, and search committees about University equal employment policies, and serve as a resource in support of recruitment activity in academic units. FRPR meets with school committees, department chairs, and search committees on such issues as effective planning, affirmative searches, fair and equitable processes, confidentiality, communicating with applicants/candidates, handling internal applicants/candidates, developing position criteria, evaluating dossiers, interviewing and selection strategies, and checking references.

New and Revised Recruitment Forms and Guidelines. In keeping with the letter and the spirit of applicable laws, the University must demonstrate that it actively advocates equal opportunity in education and employment for all qualified persons by way of its Affirmative Action Plan and by complying with the requirements established by the Department of Labor's Office of Federal Contract Compliance Programs. Toward that end, University academic departments/libraries and search committees must indicate compliance with University recruitment and employment policies and procedures by completing the appropriate forms throughout various stages of the recruitment process.

To more carefully monitor compliance and to improve the collection of information required for reports, in fall 2002 FRPR distributed a set of newly revised recruitment forms, including

Guidelines for completing them, to deans, department chairs, and program and library directors. The new *Guidelines* also define those situations in which the University might consider a departure from the standard recruitment process.

Under normal circumstances, departments/programs/libraries must use the recruitment procedures outlined in the *Faculty Code/Handbook* and the *Policies and Procedures for the Recruitment of Faculty and Librarians* (PPRF&L). Occasionally, however, a situation may arise that will necessitate a departure from the standard recruitment and evaluation process.

On a case-by-case basis, under special circumstances, the University may permit placement of a qualified individual into an academic position without the benefit of a national search, taking into account appropriate equal opportunity and affirmative action measures. The Executive Vice President for Academic Affairs would make such appointments, in consultation with the relevant dean, faculty committees, other academic administrators, and the University Affirmative Action Officer for Faculty Personnel. Requests to waive the standard search process will be considered under the following circumstances:

1. In an emergency situation (e.g., the loss of one or more key faculty members or an entire department);
2. Where there is a clear, demonstrated business need that must be quickly met (e.g., addressing an unforeseen, external event that necessitates a prompt, business response to remain competitive);
3. In an exceptional situation (e.g., where a world-class candidate or one with special talents that will confer a distinct benefit to the University's mission is available); or
4. In other special circumstances (i.e., nominal appointments, appointments for less than an academic/fiscal year).

While the guidelines facilitate completing all of the necessary paperwork for the recruitment process, they are not meant to replace the PPRF&L. The PPRF&L outlines University policies and procedures pertaining to equal employment opportunity and affirmative action; highlights responsibilities of department chairs and search committees; provides helpful tips for search committees and guidelines regarding advertisements and position announcements, etc.

Faculty of Color— Issue Discussions and Networking Opportunities

The Executive Vice President for Academic Affairs continues to provide opportunities for faculty of color to network with colleagues across the campus, as well as to provide venues to discuss issues that affect their quality of campus life. Below are two initiatives that are intended to foster a closer relationship with GW faculty of color.

General. In October 2002, President Trachtenberg and Executive Vice President Lehman invited faculty of color to join them for breakfast to discuss various issues related to the quality of their professional lives at GW and to get advice about ways the University constituencies can more effectively work together to continue to improve our campus climate. To set the stage for the discussion, participating faculty were asked to read the February 1993 report – *Action Plan to Improve the Collegial Climate: Making The George Washington University a Model of Cultural Diversity* (a synthesis of two reports; one commissioned by President Trachtenberg and one by the GW Faculty Senate) to help

assess what the University must do to continue to improve.

Comments during the general and table discussions at this event centered on the many improvements that have taken place at GW since President Trachtenberg joined the University as well as the need to continue activities that preserve these gains, the need to examine retention issues within specific schools/departments, and the importance of increasing the number of networking opportunities and issues discussions.

Hispanic Faculty. In response to the concerns about the lack of growth in the number of Hispanic faculty over the past 10 years, Executive Vice President Lehman invited Hispanic faculty to a luncheon to discuss strategies that deans, department chairs and search committees could use during AY 2002-03 and beyond. A vigorous discussion resulted in the following suggestions:

Short-Term Strategies

- Challenge the fallacy that there aren't enough Hispanics in the pipeline. It's a question of being competitive enough to attract them and requires good compensation packages and start-up support, and targeting such states as Texas, California, New York, and the Commonwealth of Puerto Rico.
- Challenge the mindset that seems to be "we are GW they have to come to us" rather than using money, energy and resources to reach out to Hispanics and other faculty of color.
- Ensure that deans, department chairs, and program directors understand that reaching out is part of their responsibilities.
- Expand the list of publications used to place position announcements.
- Make phone calls to prospective applicants.
- Use Hispanic interest groups within relevant professional organizations to seek out possible candidates.
- Ensure that a person of color is on each search committee.

Long-Term Strategies

- Leadership from the top down is essential -- consider an incentive to department chairs to actively recruit Hispanic candidates.
- Encourage recruitment and retention of Hispanic faculty by focusing on mentoring new faculty to help them navigate the school/department systems, perhaps pairing them with a successful senior faculty member, support them in writing grants, etc.
- There needs to be ongoing contact with potential Hispanic faculty even when positions are not available.
- Hire more Hispanics in deans' level positions so that they will be more visible.

- There may be misperceptions about Hispanic faculty contributions. As a result, public relations work is needed to make achievements of Hispanic faculty known.
- Mount a public relations effort about GW's interest in and support of increasing the number of Hispanic faculty.
- The University's web site should have a place to click on for a Spanish translation of, at least, the University's mission statement – on the University's and Schools' web sites.
- GW should be more involved in the Hispanic community.
- Consider partnering with La Raza.
- Develop ideas to support grant writers working on Hispanic community issues.
- GW could consider aggressively recruiting Hispanic doctoral students and post docs.
- Provide enough money to search committees so that they can place position announcements in a variety of publications, etc.

The general discussion at this luncheon was immensely helpful, informative and underscored the need to maintain closer ties with Hispanic faculty as we struggle to increase the Hispanic faculty population. Most of the short-term outreach strategies mentioned above are currently listed in "*Suggestions for Achieving a Diverse Applicant Pool*" a document that FRPR distributes in recruitment workshops and to search committees upon request. Other strategies will be shared and discussed with deans and department chairs and search committees.

Salary Equity

We continue to monitor faculty salaries to identify and correct inequities. The Administration conducts periodic, University-wide reviews by way of the Faculty Salary Equity Committee, which is composed of representatives from the Office of Academic Affairs and the Faculty Senate. Special salary reviews, those requested by individual faculty members or their deans, are handled on a case-by-case basis. Salaries that warrant an adjustment, pursuant to our current salary Administration policy, are adjusted accordingly.

University Committee on the Status of Women Faculty and Librarians

The University Committee on the Status of Women Faculty and Librarians (Committee) was established to identify obstacles to the professional and personal development of women faculty and librarians and to increase their contributions to the University; to develop and recommend strategies to overcome obstacles and improve conditions of campus life for women faculty and librarians; and to collaborate with the Office of Academic Affairs to implement these strategies across the University. Since its inception, the Committee has held a number of meetings and seminars focusing on such issues as: development strategies for women and faculty of color, mentoring and networking, campus climate, faculty governance, strategies for promotion, tenure and renewal, the research climate at GW, and many others. The committee members continue to work with women within their respective schools and libraries to share information and solicit issues for University and committee

consideration. This past fall, following considerable research and deliberations, the Committee submitted recommendations for competitive, special leave policies (including parental leave) to the Executive Vice President for Academic Affairs. The Executive Vice President for Academic Affairs forwarded the report to the Ad Hoc Committee on the Tenure Clock to inform their discussions concerning parental leave and tenure clock issues.

SCHOOLS ACTIVITIES

Across the University, each School has instituted programs designed to improve the recruitment and retention of faculty in general and women faculty and faculty of color, in particular. A few illustrative examples include: mentoring programs for junior faculty, orientation workshops for all new faculty, summer research support for junior faculty, and workshops for search committees.

A CONTINUING CHALLENGE

As Table 4 shows, the changes between years 1988/89 and 2002/03 give the University a great deal to be proud of regarding its faculty diversity gains. We have indeed been successful in increasing the presence of women and people of color in the faculty ranks. However, these achievements have not perfectly matched our intentions; this is particularly true of our efforts to recruit and retain Black and Hispanic faculty. As a result, we must do even more, beginning with reemphasizing our commitment to faculty diversity and fine-tuning our efforts to achieve our goals.

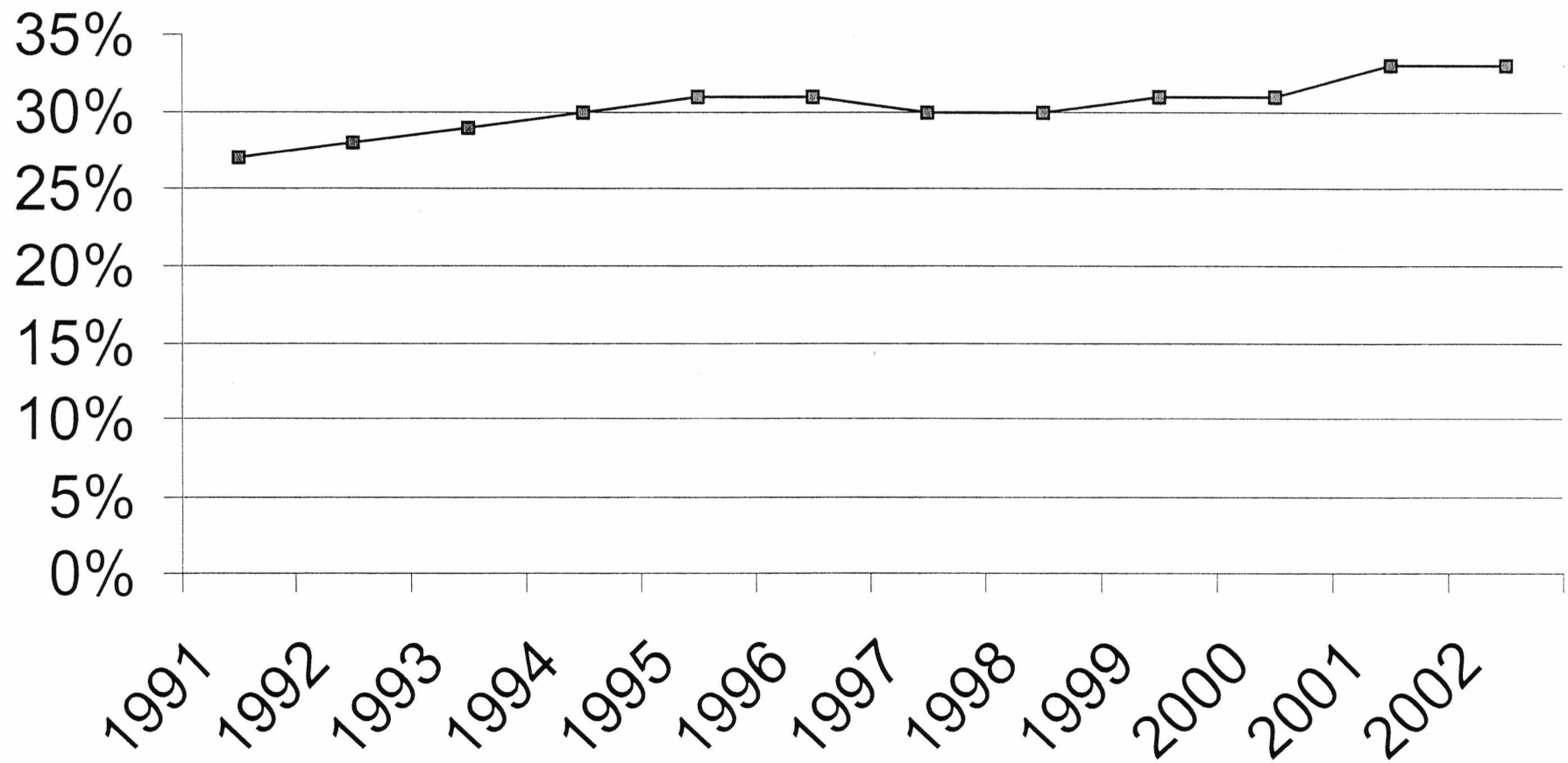
Over the next few months, the Executive Vice President for Academic Affairs and FRPR will work with the Council of Deans and department chairs on a preliminary plan of action to intensify outreach overall, with particular focus on outreach to Blacks and Hispanics. The results of these discussions will include, but not be limited to, establishing basic short and long-term outreach criteria. In the meantime, and in preparation for the next recruitment cycle, the Executive Vice President for Academic Affairs will request that each department seeking permission to recruit during the 2003-04 academic year include an outreach plan as part of their request to fill the position. The outreach plan should describe the special efforts they will employ to reach qualified women and people of color and to encourage them to apply. It should be noted that if we are to improve our outreach to women and people of color, it requires each segment of the University to contribute fully toward the achievement of this important objective.

APPENDICES

Appendix A1:	Percentage of Women Regular Faculty
Appendix A2:	Percentage of Regular Faculty of Color
Appendix B:	New Full-Time Faculty, Academic Years 1996-97 to 2002-03
Appendix C:	Full-Time Faculty by School and Percent Change Between Academic Years 1988-89 and 2002-03
Appendix D:	Full-Time Faculty by Contract Status and Percent Change Between Academic Years 1988-89 and 2002-03
Appendix E:	Full-Time Faculty by Rank and Percent Change Between Academic Years 1988-89 and 2002-03
Appendix F:	2001-03 Full-Time Faculty of Color By School
Appendix G:	Women and Minority Faculty DC Area Institutions Fall 2001 Staff IPEDS
Appendix H1:	Full-Time Faculty Terminations
Appendix H2:	Full-Time Faculty Terminations
Appendix H3:	Full-Time Faculty Terminations
Appendix I:	Part-Time Faculty

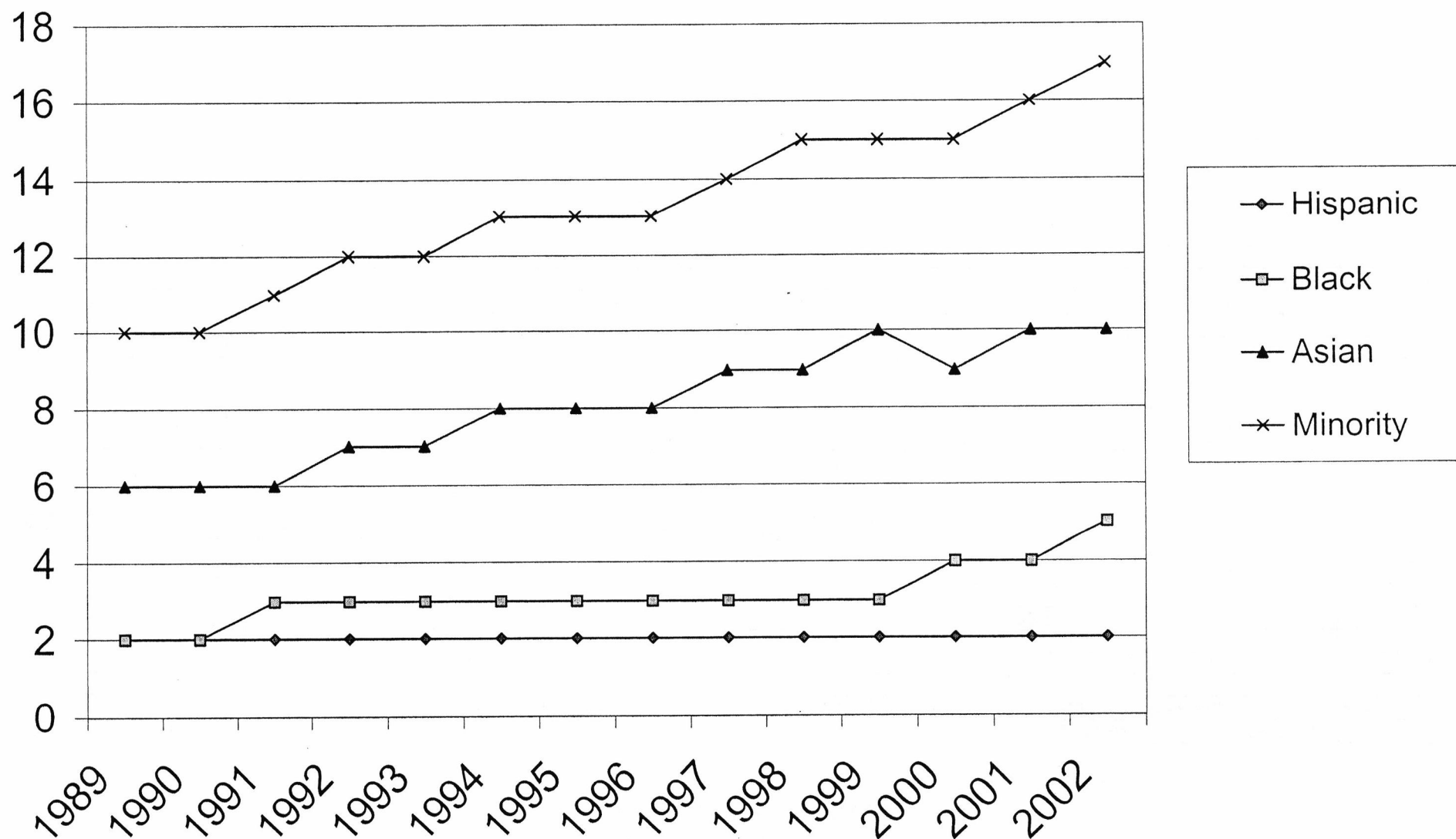
APPENDIX A1

Percentage of Women Active-Status Regular Faculty



APPENDIX A2

Percentage of Regular Active-Status Faculty of Color



Academic Years 1996-97 to 2002-03

	1996-97		1997-98		1998-99		1999-00		2000-01		2001-02		2002-03	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Total	69	100%	58	100%	55	100%	67	100%	78	100%	108	100%	99	100%
Women	29	42%	23	40%	20	36%	31	46%	25	32%	60	56%	35	35%
Men	40	58%	35	60%	35	64%	36	54%	53	68%	48	44%	64	65%
White	59	86%	45	78%	43	78%	56	84%	60	77%	73	68%	70	71%
Black	2	3%	2	3%	4	7%	2	3%	4	5%	10	9%	6	6%
Asian	6	9%	8	14%	6	11%	8	12%	7	9%	16	15%	13	13%
Hispanic	2	3%	3	5%	2	4%	1	1%	2	3%	6	6%	7	7%
Am. Native	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	2	2%
Unknown	0	0%	0	0%	0	0%	0	0%	5	6%	3	3%	1	1%
Minority Total	10	14%	13	22%	12	22%	11	16%	13	17%	32	30%	28	28%
										-				

APPENDIX C

Full-time Faculty by School and Percent Change Between Academic Years 1988/89 and 2002/03

SCHOOL	TOTAL	MEN			WOMEN			MINORITY		
	02/03	02/03	Change from 88/89		02/03	Change from 88/89		02/03	Change from 88/89	
	Number	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
CCAS	386	243	9.5%	21	143	74.4%	61	61	205.0%	41
SBPM	126	92	22.7%	17	34	126.7%	19	27	440.0%	22
ESIA	39	30	76.5%	13	9	800.0%	8	4	300.0%	3
SEAS	84	73	5.8%	4	11	83.3%	5	15	50.0%	5
GSEHD	66	34	54.5%	12	32	39.1%	9	12	300.0%	9
LAW	71	50	38.9%	14	21	75.0%	9	12	500.0%	10
SMHS	247	154	-27.7%	-59	93	45.3%	29	50	51.5%	17
SPHHS	36	24	N/A	24	12	N/A	12	5	N/A	5
UNIV	6	6	50.0%	2	0	0.0%	0	0	0.0%	0
TOTAL	1061	706	7.3%	48	355	74.9%	152	186	151.4%	112

APPENDIX D

Full-Time Faculty by Contract Status and Percent Change Between Academic Years 1988/89 and 2002/03 Tenured and Tenure-Track Positions Combined

	Men			Women			Total		
	02/03	Change from 88/89		02/03	Change from 88/89		02/03	Change from 88/89	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	446	-15.5%	-82	151	25.8%	31	597	-7.9%	-51
Black	9	28.6%	2	14	250.0%	10	23	109.1%	12
Asian	47	80.8%	21	19	111.1%	10	66	88.6%	31
Hispanic	5	-44.4%	-4	8	300.0%	6	13	18.2%	2
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	1	N/A	1	0	N/A	0	1	N/A	1
TOTAL	508	-10.9%	-62	192	42.2%	57	700	-0.7%	-5
Minorities	61	45.2%	19	41	173.3%	26	102	78.9%	45

APPENDIX E

Full-Time Faculty by Rank and Percent Change Between Academic Years 1988/89 and 2002/03 Senior Ranks - Professor and Associate Professor

	Men			Women			Total		
	02/03	Change from 88/89		02/03	Change from 88/89		02/03	Change from 88/89	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	467	-7.0%	-35	137	44.2%	42	604	1.2%	7
Black	11	83.3%	5	13	550.0%	11	24	200.0%	16
Asian	46	130.0%	26	17	112.5%	9	63	125.0%	35
Hispanic	7	-12.5%	-1	7	250.0%	5	14	40.0%	4
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	1	N/A	1	0	N/A	0	1	N/A	1
TOTAL	532	-0.7%	-4	174	62.6%	67	706	9.8%	63
Minorities	64	88.2%	30	37	208.3%	25	101	119.6%	55

APPENDIX F

2002/03 Full-time Faculty of Color By School

Tenured and Tenure-Track Positions Combined

SCHOOL	Minority	Black	Asian	Hispanic	Am. Native
CCAS	44	10	29	5	0
SBPM	17	4	12	1	0
ESIA	3	0	2	1	0
SEAS	15	0	14	1	0
GSEHD	5	2	0	3	0
LAW	9	5	3	1	0
SMHS	9	2	6	1	0
SPHHS	0	0	0	0	0
UNIV	0	0	0	0	0
TOTAL	102	23	66	13	0

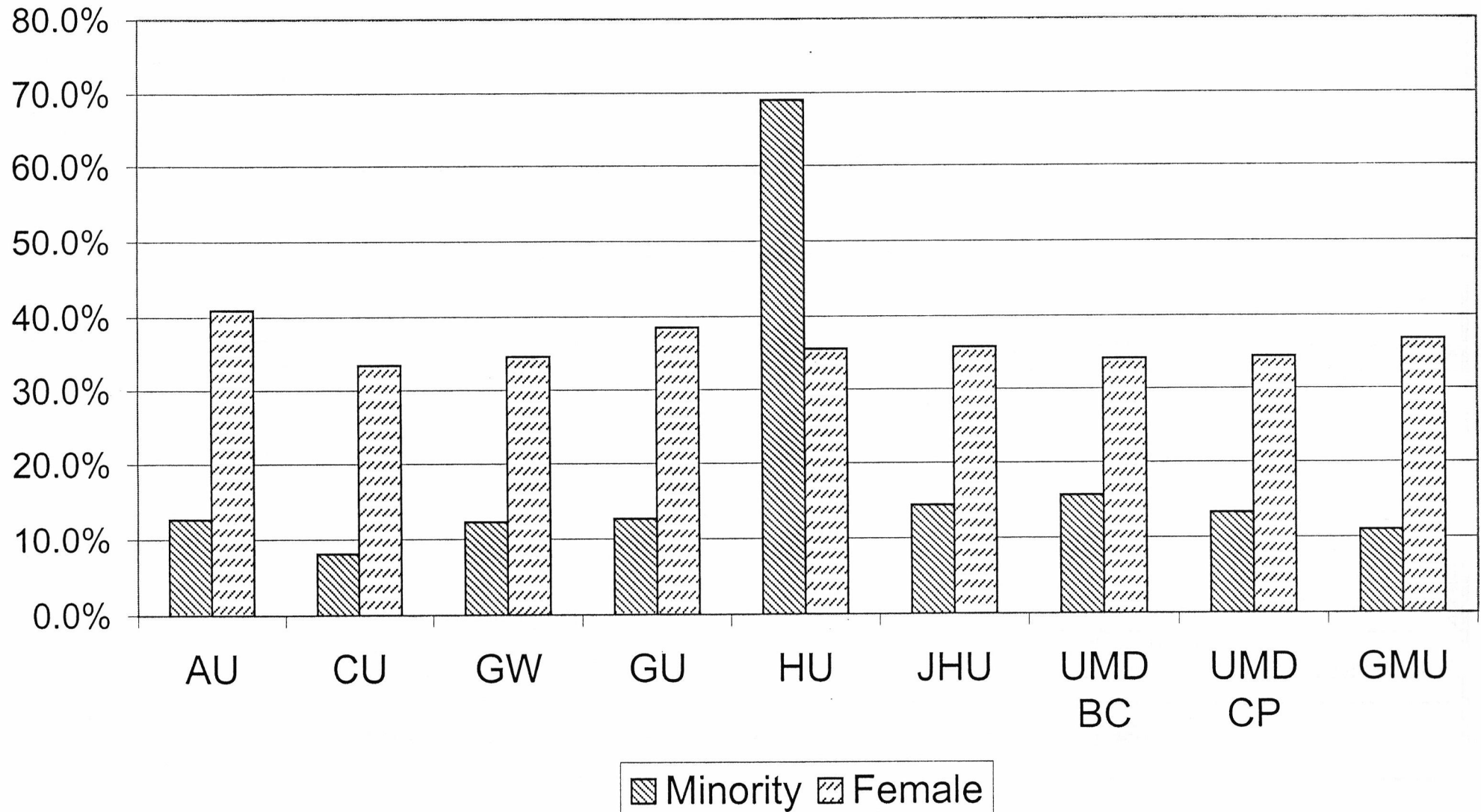
Non - Tenure - Track

SCHOOL	Minority	Black	Asian	Hispanic	Am. Native
CCAS	17	3	9	5	0
SBPM	10	4	5	0	1
ESIA	1	1	0	0	0
SEAS	0	0	0	0	0
GSEHD	7	1	4	1	1
LAW	3	1	1	1	0
SMHS	41	16	23	2	0
SPHHS	5	0	3	2	0
UNIV	0	0	0	0	0
TOTAL	84	26	45	11	2

Appendix G

Women and Minority Faculty

DC Area Institutions - Fall 2001 Staff IPEDS



APPENDIX H1

Full-time Faculty Terminations

Terminations October 2001 through September 2002, Includes Visiting Faculty																
Count of Last	Sex	Race			Female Total	Male					Male Total	Grand Total				
Term_Reason	Female	Asian	Hispanic	White		Asian	Black	Hispanic	Unknown	White						
accepted another position				2	2						2	2	4			
denied tenure											2	2	2			
end of contract				1	1								1			
moved to affiliate				1	1						1	1	2			
moved to part-time				3	3						1	1	4			
non-reappointment											1	1	1			
resigned		2		7	9		3		1	1		10	15	24		
retired											1	1	1			
retired emeritus				2	2						6	6	8			
temporary appointment		1		2	19		4		1		14	20	42			
terminated											1	1	1			
Grand Total		3		2	35		40		7		2	1	1	39	50	90
Terminations October 2001 through September 2002, Excludes Visiting Faculty																
Count of Last	Sex	Race			Female Tot	Male				Male Tot	Grand Total					
Term_Reason	Female	Asian	White	Asian		Black	Hispanic	White								
accepted another position				2	2					2	2	4				
denied tenure										2	2	2				
end of contract				1	1							1				
moved to affiliate				1	1					1	1	2				
moved to part-time				3	3							3				
non-reappointment										1	1	1				
resigned		2		7	9		3		1	1	10	15	24			
retired										1	1	1				
retired emeritus				2	2					6	6	8				
temporary appointment				1	1					3	3	4				
terminated										1	1	1				
Grand Total		2		17	19		3		1	1	27	32	51			

APPENDIX H2

Full-time Faculty Terminations

Terminations October 2001 through September 2002, Excludes Medical Faculty

Count of Last	Sex		Race								
	Female			Female Total	Male					Male Total	Grand Total
Term_Reason	Asian	Hispanic	White		Asian	Black	Hispanic	Unknown	White		
accepted another position			2	2					2	2	4
denied tenure									2	2	2
moved to part-time			3	3					1	1	4
non-reappointment									1	1	1
resigned	2		6	8	3		1		7	11	19
retired									1	1	1
retired emeritus			1	1					5	5	6
temporary appointment	1	2	19	22	4	1		1	14	20	42
Grand Total	3	2	31	36	7	1	1	1	33	43	79

Terminations October 2001 through September 2002, Medical Faculty, Excludes Visiting

Count of Last	Sex		Race									
	Female		Female Total			Male		Male Total			Grand Total	
Term Reason	White					Black		White				
end of contract	1		1								1	
moved to affiliate	1		1					1			1	2
resigned	1		1		1			3			4	5
retired emeritus	1		1					1			1	2
terminated								1			1	1
Grand Total	4		4		1			6			7	11

APPENDIX H3

Full-time Faculty Terminations

Terminations October 2001 through September 2002, Regular Faculty, Excludes Visiting and Medical								
Count of Last	Sex		Race					
Term Reason	Female		Female Total	Male			Male Total	Grand Total
	Asian	White		Asian	Hispanic	White		
accepted another position		2	2			2	2	4
denied tenure						2	2	2
moved to part-time		3	3					3
non-reappointment						1	1	1
resigned	2	6	8	3	1	7	11	19
retired						1	1	1
retired emeritus		1	1			5	5	6
temporary appointment		1	1			3	3	4
Grand Total	2	13	15	3	1	21	25	40

APPENDIX I

PT Faculty by School, Gender and Ethnicity															
Fall 2002															
	Total	Male		Female		Minority		Black		Asian		Hispanic		Native American	
	Faculty	No.	Pct.	No.	Pct.	No.	Pct.	No.	Pct.	No.	Pct.	No.	Pct.	No.	Pct.
CCAS	532	274	51.5%	258	48.5%	78	14.7%	18	3.4%	37	7.0%	23	4.3%	0	0.0%
SBPM	93	70	75.3%	23	24.7%	13	14.0%	3	3.2%	9	9.7%	1	1.1%	0	0.0%
ESIA	37	29	78.4%	8	21.6%	3	8.1%	0	0.0%	1	2.7%	2	5.4%	0	0.0%
SEAS	115	99	86.1%	16	13.9%	16	13.9%	2	1.7%	9	7.8%	3	2.6%	2	1.7%
GSEHD	82	23	28.0%	59	72.0%	15	18.3%	12	14.6%	1	1.2%	2	2.4%	0	0.0%
LAW	103	70	68.0%	33	32.0%	3	2.9%	1	1.0%	0	0.0%	2	1.9%	0	0.0%
UNIV	9	6	66.7%	3	33.3%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Total University*	971	571	58.8%	400	41.2%	128	13.2%	36	3.7%	57	5.9%	33	3.4%	2	0.2%
SMHS*	1798	1264	70.3%	534	29.7%	258	14.3%	89	4.9%	117	6.5%	52	2.9%	0	0.0%
SPHHS*	210	108	51.4%	102	48.6%	27	12.9%	16	7.6%	6	2.9%	5	2.4%	0	0.0%
Total Medical**	2008	1372	68.3%	636	31.7%	285	14.2%	105	5.2%	123	6.1%	57	2.8%	0	0.0%
Total	2979	1943	65.2%	1036	34.8%	413	13.9%	141	4.7%	180	6.0%	90	3.0%	2	0.1%
*Total University Part-time Faculty count includes 55 faculty members whose ethnicities are unknown and 50 International faculty members.															
**Total Medical Part-time Faculty count includes 170 faculty members whose ethnicities are unknown.															
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REPORT OF THE EXECUTIVE COMMITTEE
Professor Lilien F. Robinson, Chair
March 14, 2003

Executive Committee Actions

Pursuant to the Senate's discussion of the University's plans for future construction, the Executive Committee has requested that the Educational Policy Committee address the matter of faculty participation in the construction of new academic buildings, and, in that context, the adequacy of our present science facilities.

The Executive Committee also requested that the Committee on Professional Ethics and Academic Freedom review the matter of participation of part-time faculty members on Senate Standing Committees with respect to the requirements of the Faculty Organization Plan and established practice.

As a follow-up to questions raised at the February Senate meeting with respect to the designation of Louis Katz as simply "Executive Vice President," the Executive Committee is pursuing this matter further, via a memorandum to President Trachtenberg.

Other Matters

The election of the Chair and the members of the Executive Committee for the 2003-04 session will take place at the April meeting of the Senate.

At its April meeting the Executive Committee will prepare the list of nominees for membership, including Chair, on the Dispute Resolution Committee.

Please note that two items have been distributed to you today. These are the Faculty Senate report to the Academic Affairs Committee of the Board of Trustees and an update from the Academic Calendar Committee. The Board of Trustees has also authorized the re-publication of the Faculty Code and the Faculty Organization Plan.

Please also note that the annual photograph of the Senate will be taken at the April meeting.

Executive Committee Meeting

The next meeting of the Executive Committee is on March 28. Resolutions, reports, and items of business should reach the Committee prior to that date.

THE GEORGE WASHINGTON UNIVERSITY
Washington, DC

The Faculty Senate

March 3, 2003

The Faculty Senate will meet on Friday, March 14, 2003, at 2:10 p.m.,
in the Alumni House, First Floor, 1925 F Street, N.W.

AGENDA

1. Call to order
2. Approval of the minutes of the regular meeting of February 14, 2003, as distributed
3. Introduction of Resolutions
4. Report on the Columbian College of Arts and Sciences: Dean William J. Frawley
5. Annual Report on the College of Professional Studies: Vice President Lehman
6. Annual Report on the Recruitment and Appointment of Women and Faculty of Color:
Vice President Lehman
7. Update on the Writing Proposal: Professor Duff, Chair, Educational Policy Committee
8. Update on the Regulatory Compliance Help and Referral Line: Professor Wilmarth
(Information on the Compliance Line is attached.)
9. Update from the Subcommittee on the School of Public Policy
10. General Business:
 - a) Nominees for election to the Nominating Committee for the Executive Committee
for the 2003-04 Session (nominees to be announced)
 - b) Report of the Executive Committee: Professor Lilien F. Robinson, Chair
11. Brief Statements (and Questions)
12. Adjournment

Dennis L. Geyer
Dennis L. Geyer
Secretary

REGULATORY COMPLIANCE HELP AND REFERRAL LINE

Preamble

The Regulatory Compliance Referral Line (the "Referral Line") is established by The George Washington University to facilitate the proper directing of concerns, including possible violations of federal and local law, as well as health and safety issues, to the appropriate offices within the University. The Referral Line is intended to provide GW personnel with efficient access to University programs for resolving specific concerns and complaints on a timely basis, by routing calls to the established offices best suited to addressing covered issues. Referral Line staff will also perform an important tracking function for calls referred to University offices.

In general, the Referral Line will be staffed by personnel trained to determine the nature of the concerns expressed by the caller. Staff will then direct the matter to the most appropriate University office for responding to that type of issue. Staff will subsequently follow up with that office to determine whether that office accepted responsibility to process the call. So long as the Referral Line remains in use, the procedures governing its operation will be no more intrusive than those outlined below.

Objectives of the Referral Line

The objectives of the Referral Line are as follows:

- to provide an intake clearinghouse for concerns and complaints governed by this program;
- to refer calls to the University offices established throughout the institution for handling specific allegations;
- to tally the general categories of concerns, complaints and the referrals made in order provide data for the evaluation of existing University policies, as well as the need for additional training of University personnel;
- to direct callers to a central location for obtaining information on GW policies;
- to provide guidance to callers on where to go for assistance in determining how to comply with University policies and procedures, as well as federal and local law.

Operation of the Referral Line

The Referral Line will be operated by University personnel in the Compliance Office or by an outside agency retained for that purpose. Persons

answering calls will be trained and carefully scripted. The responsibility of such persons is to ascertain the nature of the concern expressed by the caller and to prepare a short summary for referral to the appropriate University office for handling. If the concern is not handled by a University office or is not otherwise covered by this program, the caller will be so informed. In such case, the caller may be directed to the most appropriate person to provide advice on that issue, e.g. a faculty advisor, dean, supervisor or University police. For calls referred to a University office, Referral Line staff will assign a tracking number for follow up that does not personally identify persons named in the call. Referral Line staff will use that tracking number to periodically follow up with the office to which a call has been referred to determine whether the office accepted responsibility to process the call.

Types of Concerns Addressed

The Referral Line is intended to address the following concerns:

1. allegations of a violation of a statute or regulation of the federal or local government,
2. allegations of a violation of requirements of outside agencies with jurisdiction over GW activities,
3. allegations of violations of University-wide policies, and
4. allegations involving threats to health and safety.

Attached is a list of the allegations covered, current as June, 2002. These areas will be adjusted to comply with changes in areas 1-3, above.

The Referral Line is not intended to cover general allegations of misconduct not covered by the above listed concerns or other University policies and procedures. Further, the Referral Line will not supplant, duplicate or supplement established University investigation procedures, nor circumvent the rights of parties – including those making allegations and those identified in the allegations – to participate in established procedures for addressing the allegations.

Unless an allegation received through the Compliance Line is substantiated during subsequent investigative and/or hearing procedures that are conducted in accordance with applicable University policies and legal requirements, the allegation itself will not be used by the University as a basis for imposing any sanction against, or denying any benefit, privilege, or honor to, any faculty member, staff member, or student who is the subject of the allegation. Allegations relating to faculty will be addressed in accordance with procedures established in the Faculty Code.

Anonymous Calls

The Referral Line staff will request callers to identify themselves, but will accept anonymous calls if the caller declines to provide a name. Allegations of misconduct will be referred to the appropriate office for processing, notwithstanding the anonymity of the caller. A caller requesting anonymity, however, will be advised that the request for anonymity may limit the University's ability to respond and thus callers will be encouraged to identify themselves. If a caller is afraid of possible retaliation, the caller will be assured that University policy prohibits acts of retaliation based on allegations of misconduct made in good faith. The University will take steps to prevent retaliation in such circumstances and will take strong responsive actions if retaliation occurs.

Oversight

The operation of the Referral Line will be reviewed by the Compliance Committee established by the University. The Compliance Committee shall include representatives of the Faculty Senate. Periodic reports on the operation of the Referral Line will be reviewed by the Compliance Committee, with copies made available to the Faculty Senate. These reports will be general summaries of the operation and will not include any references to persons, or personally identifying information, relating to either the caller or persons named in the call. The Compliance Committee may recommend changes to the operation of the Referral Line in order to more effectively accomplish the purposes as set forth above.

Compliance Office Tracking

The Compliance Office will track the number of calls made, the nature of the concerns alleged, the University offices to which the calls have been referred, and the resolution of the calls. The Compliance Office will produce periodic reports summarizing such information. The Compliance Office will track calls using the tracking number and will not maintain records identifying persons named in the calls.

Compliance Committee Minutes
January 16, 2003

Attendance:

Colin Clasper, Chair
Jeffrey M. Good, for Astra Bain Dowell
Walter Gray
Jennifer Lopez
Henry Kirschenmann
Kim Maronski
Deborah McDonald
Joseph Pelzman
Cynthia Richardson-Crooks
Roby Schmidt
James Isom
Joe Yohe

Absent:

Charles Barber
Barry Dempsey
William Howard
Susan Kaplan
Tim Russell
Dan Small
Krizi Trivisani
Arthur Wilmarth
Annie Wooldridge

For those not in attendance, I will send a packet of the information that was handed out.

1. The first order of business was to introduce the new committee members and for each of the existing members to introduce themselves and the organization they represent. **A committee roster was handed out and any corrections to the names, phone numbers or e-mail addresses need to be noted and returned to me.**
2. A review of the compliance program and its elements were done for the committee members. It included a handout of an article in the Business Officer and a one-page handout concerning the components of an effective compliance program, as defined in the Federal Sentencing Guidelines. We reviewed the status of four major components of the program: Regulatory Compliance Help and Referral Line, Corporate Calendar, Centralized Policy Software, Compliance Risk Assessment.
 - a. We handed out the **Regulatory Compliance Help and Referral Line write-up** that was reviewed and approved in November 2002. Attached to that was the **listing of allegations that the Regulatory Compliance Help and Referral Line handles**. Attached to that schedule is the actual set-up document for Pinkerton concerning what questions to ask and who within the University is to be notified, how they are to be notified and when they are to be notified. **We are asking the committee to review this set-up information for accuracy and changes so that we can provide this information to Pinkertons. We would like to provide this to Pinkertons by the end of February.**

We also asked the committee for recommendations and suggestions on how to **notify the campus of this service reactivation**. Currently, anyone calling the Pinkerton line is transferred to the University's Compliance Office. We would like to have the Regulatory Compliance Help and Referral Line re-activated as

soon as possible. Any comments and recommendations need to be received as soon as possible.

We also handed out an article, from the Washington Post, which talked about the Compliance Lines function in light of the corporate ethics scandals such as Enron and WorldCom.

- b. We reviewed the purpose of the Corporate Calendar and the need for organizations to provide us with their filing requirements and their actual filed documents. We indicated how difficult it is to find paper documents, when requested several years later, and that is why we are imaging copies of the filed information. The Corporate calendar also serves as a friendly reminder, to those responsible, that due dates are approaching. We handed out copies of the December and January calendar of required filings. **Any corrections or addition need to be noted and sent to me as soon as possible.**

- c. We talked about the status of the Centralized Policy Software and the hope to have at least 100 policies published by March 1st. We talked about the need to have all of the University's approved policies in one location for easy access and improved communications. We talked about the need to have our policies in an easy to use and recognized format. **The policy software is located at policy.gwu.edu and needed to be accessed using Internet explorer (IE) not Netscape.**

We talked about the current status of the software, with several bugs being corrected, in the new release, that is in test. We talked about the new test/training instance that is being developed and that this should be complete by the end of January.

- d. We talked about the compliance risk assessment and the two step process that is being worked on. The first step is the University Accountability Index, a draft was handed out to the committee. It consists of a matrix that tries to identify the laws/regulations that the University must comply with and who in the University is responsible for the compliance. The laws/regulations are classified into logical activities such as research, tax, facilities, etc.

The second step is the actual risk assessment, which is looking at each law/regulation and making an assessment of the risk (impact if it occurs and probability that it will happen) of the compliance. We will be meeting with those responsible for the compliance activities to get their opinion of our compliance risk and also their assessment on what mitigates the risk (policies, procedures, etc.).

- 3. We also talked briefly about significant compliance regulations that will or have affected the University. Changes in the law and regulations concerning Select Agents,

INS and HIPAA will significantly change the way we have or will do business. In some cases, violation of these new laws require criminal penalties.

4. We passed out some compliance articles, that appeared in the Chronicle over the last year, in which sever fines and penalties have been assessed to various colleges and Universities for violating various laws and regulation. Government auditors are active and they are continuing to look at Universities to improve their compliance with government regulations.
5. In trying to determine future meeting times for this semester, Thursday at 4:00 seems to work for most people. Please let me know if this time works for everyone.

Colin Clasper
January 17, 2003

Compliance Committee Meeting
???, 200?

	Name	Responsible Area	Phone Number	e-mail
1	Bain-Dowell, Astra	Asst. VP, Health, Research, Compliance, and Technology Transfer	(202) 994-2995	bain@gwu.edu
2	Barber, Charles	Senior Attorney, OGC	(202) 994-6503	cbarber@gwu.edu
3	Clasper, Colin	Asst. VP, University Compliance Office	202-994-3386	cclasper@gwu.edu
4	Dempsey, Barry	Director, Risk Management & Insurance	(202) 994-5537	bdempsey@gwu.edu
5	Gray, Walter	Director, Facilities Management	(202) 994-6700	wlgsr@gwu.edu
6	Howard, William	Deputy General Counsel , OGC	(202) 994-6503	whoward@gwu.edu
7	Kaplan, Susan	Assoc.VP, Human Resources	(202) 994-4433	sbk@gwu.edu
8	Kirscheman, Henry	Manager, GCAS Special Cost Studies	(202) 872-3743	hkirsche@gwu.edu
9	Lopez, Jennifer	Manager, Tax Department	(202) 994-2547	lopezi@gwu.edu
10	Maronski, Kim	Asst. VP, Financial & Systems Auditing	(202) 994-3183	maronski@gwu.edu
11	McDonald, Deborah	Manager, Employee Relations	(202) 994-9611	dmcdon@gwu.edu
12	Pelzman, joseph	Faculty Representative	(202) 994-7108	jpelz@gwu.edu
13	Richardson-Crooks, Cynthia	Director, Equal Employment Activities	(202) 994-9656	eeacrc@gwu.edu
14	Russell, Tim	Comptroller	(202) 973-1008	trussell@gwu.edu
15	Schmidt, Roby	Manager, Athletics Departmental Fiscal Operations	(202) 994-6498	robby@gwu.edu
16	Small, Dan	Director, Enrollment Management Administration	(202) 994-7850	dsmall@gwu.edu
17	Stafford, Dolores	Chief, University Police	(202) 994-6948	das@gwu.edu
18	Trivisani, Krizi	Network Security Administrator , ISS	(202) 994-7803	krizi@gwu.edu
19	Wilmarth, Arthur E.	Faculty Representative	(202) 994-6386	
20	Wooldrige, Annie	Asst VP Faculty Recruitment &Personnel Relations	(202) 994-6783	abwool@gwu.edu
21	Yohe, Joseph	Asst Director, Risk Mgt	(202) 994-6947	riskjay@gwu.edu
22				
23				

Compliance Committee Agenda
January 16, 2003

1. Introduction of Compliance Committee members
2. Review of the compliance program (handout)
 - a. It's elements
 - b. It's function
 - c. The function of the Compliance Committee
3. Status of several key elements of the compliance program
 - a. The Regulatory Compliance Help and Referral Line (handout)
 - i. Review of set up documentation (handout)
 - ii. Reconfirm the Pinkertons set up information
 - iii. Recommendations for reactivation
 - b. Corporate Calendar (handout)
 - c. The Centralized Policy Software
 - d. Compliance Risk Assessment (handout)
 - i. Compliance Accountability Index
 - ii. Risk Self Assessment
4. Significant compliance issues since our last meeting
 - a. Changes in regulations and laws
 - i. HIPAA
 - ii. Select Agents
 - iii. INS
 - b. Significant articles on enforcement (handouts)
5. Dates for next meetings

Reported Compliance Issues

	Allegation Class	Allegation	Responsible Person/ Department	Assigned Priority	Priority "A" Follow-up	Priority "B" Follow-up	Priority "C" Follow up
1	EEO/EEA/Diversity Issues	Discrimination	Cynthia Richardson-Crooks	C			14 business days
2	Environmental-Legal and Regulatory	Violations of EPA regulations and Hazardous material releases	Barry Demsey	A	24 Hours		
3	Financial Operations & Control Issues	Falsification of Documents	Tim Russell	C			14 business days
4	Financial Operations & Control Issues	Fraud	Tim Russell	C			14 business days
5	Financial Operations & Control Issues	loss of company assets	Tim Russell	C			14 business days
6	Financial Operations & Control Issues	Problems with Student Billings	Robert J. Kershner	C			14 business days
7	General Issues	Request for Guidance/Information	Colin Clasper	B		3 business days	
8	General non-compliance (other)	Not comply with Laws and Regulations	Colin Clasper	C			14 business days
9	Health and Safety-Legal and Regulatory	Violation of OSHA, HPPA, BOCA, NRC, and FDA regulations	Barry Demsey	A	24 Hours		
10	Human Resource Issues	Sexual Harassment	Sarah Mulkern	C			14 business days
11	Human Resource Issues	Violation of employment laws/regulations or University policies	Deborah McDonald	C			14 business days
12	Information Security Issues	Confidential GW Information Being Disclosed	Krizi Trivisani	C			14 business days
13	Information Security Issues	Violation of System Security	Krizi Trivisani	C			14 business days
14	Information Security Issues	Critical information system being hacked or compromised (Oracle, Banner, e-mail)	Krizi Trivisani	A	24 Hours		
15	NCAA Rules	Not Following NCAA Rules	Susie Jones	C			14 business days
16	Research-Legal and Regulatory Issues	Animal Research Violations of NIH, USDA, AAALAC Regulations	Astra Bain-Dowell	A	24 Hours		
17	Research-Legal and Regulatory Issues	Billing and Reporting	Pamela (Pam) Goodnow	C			14 business days
18	Research-Legal and Regulatory Issues	Conflict of Interest violation of DHHS, FDA, NSF or other Federal Agency Regulations	Frederick Rickles, MD	B		3 business days	
19	Research-Legal and Regulatory Issues	Human Subject Research Violations of DHHS/OHRP, FDA and other Federal Regulations pertaining to human subject research	Astra Bain-Dowell	A	24 Hours		
20	Research-Legal and Regulatory Issues	Improper accounting and costing	Pamela (Pam) Goodnow	C			14 business days
21	Research-Legal and Regulatory Issues	Laboratory Safety Violations	Astra Bain-Dowell	B		3 business days	
22	Research-Legal and Regulatory Issues	Misconduct in Research Violation of DHHS, FDA, NSF or other Federal Agency regulations	Frederick Rickles, MD	B		3 business days	
23	Research-Legal and Regulatory Issues	Radiation Safety Violation of NRC or DCRA Regulations	Astra Bain-Dowell	A	24 Hours		
24	Security Concerns	Alcohol and Drug Use	Dolores Stafford	B		3 business days	
25	Security Concerns	Threats of Immediate Violence and Physical Violence	Dolores Stafford	A	24 Hours		
26	Student Financial Aid Issues	Not Following Federal (DOE/DHHS) Rules	Ruth Hoch	C			14 business days
27	Tax Issues	Not Following IRS rules	Jennifer Lopez	C			14 business days
28	Workers Compensations Concerns	Violation of Worker's Compensation Laws	Barry Demsey	B		3 business days	
29	Disclosure of Protected Health Information	Violation of HIPAA regulations	TBD	C			14 business days

COMPLIANCE DEPARTMENT:
DECEMBER 2002 REQUIRED FILINGS

DEPARTMENT NAME	DEPARTMENT # & RESPONSIBLE PARTY	REQUIRED FILING	FILING DESCRIPTION	NOTIFICATION	DUE DATE	STATUS		
						Complete	In Progress	No Response
AVP for Health Research	994-2995-Astra Bain-Dowell	AAALAC Report	Institutions that utilize animals in research, testing, or training may be subject to varying annual reporting requirements from funding, regulatory, and accreditation organizations.		12/2/02		x	
Risk Management	994-3265-Joe Yohe	Workers Compensation Report	Workers Compensation Statistical Report		12/2/02	x		
Payroll Services	994-6875-Jim Montgomery	W-5	Notify Individuals to Refile W-5 Earned Income Credit (EIC)		12/9/02	x		
Tax Department	994-2556-Jennifer Lopez	Form 89-105	Mississippi Employers Withholding Tax Return		12/16/02	x		
Financial Reporting Services	973-1015-Lisa Knox	Higher Ed. Report	Begin Preparation of the Annual Report for Higher Ed. Act of 1965		12/16/02	x		
Tax Department	994-2556-Jennifer Lopez	FR800M	DC Sales and Use Tax Monthly Return		12/20/02	x		
University Acc. Services	973-1033-Genoble Riggins	Sales Tax Return	Monthly Sales Tax Return		12/20/02	x		
Grants and Contracts	872-3743-Hank Kirschenmann	OMB A-21	File Indirect Cost Rate Proposal, if required		12/31/02			
Tax Department	994-2556-Jennifer Lopez	Form 70-001	Mississippi Registration Application		12/31/02	x		
		NYS-1	NY State Return of Tax Withheld		12/31/02	x		
Treasury Management Office	496-2216-Catherine Lynch	1992 Bonds	1992 Bonds - Non-default Certificate, Loan Agreement Section 5.4 --> Loudoun County, Bank of New York --> filed annually		12/31/02	x		
		1992 Bonds Audited	1992 Bonds - Audited Financials, Loan Agreement Section 5.3 --> Loudoun County (authority) Bank of New York (trustee), Moody's Investor Service (rating agency) --> filed annually		12/31/02	x		
		Riggs Credit	Riggs Credit Facility - Audited Financials, memo from Riggs --> Riggs Bank --> filed annually		12/31/02	x		

Number of Filings:

13

COMPLIANCE DEPARTMENT:
JANUARY 2003 REQUIRED FILINGS

DEPARTMENT NAME	DEPARTMENT # & RESPONSIBLE PARTY	REQUIRED FILING	FILING DESCRIPTION	NOTIFICATION	DUE DATE	STATUS		
						Complete	In Progress	No Response
Facilities Management	994-6700-Walter Gray	UST Registration	Underground Storage Registration		1/01/03		x	
Financial Reporting Services	973-1015-Lisa Knox	Annual Profile	Annual Institution Profile from the Commission on the Higher Education, Middle States Association of Colleges and Schools		1/1/03			
Financial Reporting Services	973-1015-Lisa Knox	NSF Survey	Engineering and Scientific Expenditures Survey		1/1/03			
Tax Department	994-2556-Jennifer Lopez	Form 89-105	Mississippi Employers Withholding Tax Return		1/15/03	x		
Risk Management	994-3265-Joe Yohe	Quarterly Benefits	Quarterly Benefits Paid Report (20 days after end of quarter)		1/20/03			
Tax Department	994-2556-Jennifer Lopez	FR800A	DC Sales and Use Tax Annual Return		1/20/03			
		FR800M	DC Sales and Use Tax Monthly Return		1/20/03			
		FR900M	DC Employer Withholding Tax - Monthly Return		1/20/03			
		ST-9	VA Retail Sales and Use Tax Return		1/20/03			
University Acc. Services	973-1033-Genoble Riggins	Sales Tax Return	Monthly Sales Tax Return		1/20/03			
Animal Research	994-2995-Astra Bain-Dowell	Lab Animal Welfare	Annual Report to Office of Laboratory Animal Welfare (DHHS/OPRR - No Specific Forms)		1/31/03			
Human Research	994-2995-Astra Bain-Dowell	Fed. Wide Assurance	Federal Wide Assurance (Replaces MPA - No Specific Forms)		1/31/03			
Payroll Services	994-6875-Jim Montgomery	State Unemployment	State Unemployment Returns		1/31/03			
Tax Department	994-2556-Jennifer Lopez	720	Excise Tax Return		1/31/03			
		941	US Employer's Payroll Tax Return		1/31/03			
		DLLR/OUI 15	MD Unemployment Insurance Quarterly Contribution Report		1/31/03			
		DLLR/OUI 16	MD Unemployment Insurance Quarterly Employment Report		1/31/03			
		FR900B	DC Employer Withholding Tax Annual Reconciliation Report		1/31/03			
		MW506A	MD Employer's Return of Income Tax Withheld		1/31/03			

COMPLIANCE DEPARTMENT:
JANUARY 2003 REQUIRED FILINGS

		NYS-45	NY Qtrly. Withholding, Wage Rpt. & Unempl. Insur.		1/31/03			
		PA-W3	PA Employer Qtrly. Return of Withholding Tax		1/31/03			
		UC-30	DC Employer's Quarterly Contribution and Wage Report		1/31/03			
		Va-15	VA Employer's Voucher for Payment of Virginia Income Tax Withheld		1/31/03			
		VA-16	VA Employer's Payments of Qtrly. Reconc. & Return of VA Income Tax Withheld		1/31/03			

Number of Filings:

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Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Financial Operations and Control Issues

Allegation: Fraud

Priority: "C"

Responsible GWU Department/Person to be notified:

University Compliance Office:
Colin Clasper
Asst. VP, University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Comptroller's
Person: Tim Russell
Comptroller
Office Number: 202-973-1008
Office Fax: 202-973-1013
Office Hours: 8:30-5:30
E-mail: Trussell@gwu.edu
Cell Phone: _____
Emergency: _____

Office Name: Internal Audit
Person: Kim Maronski
Assistant VP for Financial and Systems Auditing
Office Number: 202-994-3127
Office Fax: 202-994-3085
Office Hours: 7:30-5:30
E-mail: Audit@gwu.edu
Cell Phone: _____
Emergency: _____

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building?
7. Does the University have an existing policy concerning this issue?
8. Who do you think perpetrated the fraud and when did it occur?
9. Can you explain how the fraud was perpetrated and can you provide written documentation?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Financial Operations and Control Issues

Allegation: Falsification of Documents

Priority: "C"

Responsible GWU Department/Person to be notified:

University Compliance Office:
Colin Clasper
Asst. VP, University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Comptroller's
Person: Tim Russell
Comptroller
Office Number: 202-973-1008
Office Fax: 202-973-1013
Office Hours: 8:30-5:30
E-mail: Trussell@gwu.edu
Cell Phone: _____
Emergency: _____

Office Name: Internal Audit
Person: Kim Maronski
Assistant VP for Financial and Systems Auditing
Office Number: 202-994-3127
Office Fax: 202-994-3085
Office Hours: 7:30-5:30
E-mail: Audit@gwu.edu
Cell Phone: _____
Emergency: _____

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

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2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building?
7. Does the University have an existing policy concerning this issue?
8. Who do you think perpetrated the falsification and when did it occur?
9. Can you explain how the falsification was perpetrated and can you provide written documentation?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Financial Operations and Control Issues

Allegation: Loss of Company assets

Priority: "C"

Responsible GWU Department/Person to be notified:

University Compliance Office:
Colin Clasper
Asst. VP, University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Comptroller's
Person: Tim Russell
Comptroller
Office Number: 202-973-1008
Office Fax: 202-973-1013
Office Hours: 8:30-5:30
E-mail: Trussell@gwu.edu
Cell Phone: _____
Emergency: _____

Office Name: Internal Audit
Person: Kim Maronski
Assistant VP for Financial and Systems Auditing
Office Number: 202-994-3127
Office Fax: 202-994-3085
Office Hours: 7:30-5:30
E-mail: Audit@gwu.edu
Cell Phone: _____
Emergency: _____

The University's Compliance Office will respond back to Pinkertons.

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2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building?
7. Does the University have an existing policy concerning this issue?
8. Who do you think lost the assets and when did it occur?
9. Can you explain how the assets were lost and can you provide written documentation?
- 10.

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Research-Legal and Regulatory Issues

Allegation: Billing and Reporting Issues

Priority: "C"

Responsible GWU Department/Person to be notified:

University Compliance Office:
Colin Clasper
Asst. VP, University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Grants and Contract Accounting Services
Person: Pamela (Pam) Goodnow,
Assistant Comptroller and Director of GCAS
Office Number: 202-973-1516
Office Fax: 202-973-1013
Office Hours: 8:30-5:30
E-mail: pgoodnow@gwu.edu
Cell Phone: _____
Emergency: _____

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building
7. Does the University have an existing policy concerning this issue?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Research-Legal and Regulatory Issues

Allegation: Improper Accounting and Costing Issues

Priority: "C"

Responsible GWU Department/Person to be notified:

University Compliance Office:
Colin Clasper
Asst. VP, University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Grants and Contract Accounting
Person: Pamela (Pam) Goodnow
Assistant Comptroller and Director of GCAS
Office Number: 202-973-1516
Office Fax: 202-973-1013
Office Hours: 8:30-5:30
E-mail: pgoodnow@gwu.edu
Cell Phone: _____
Emergency: _____

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building?
7. Does the University have an existing policy concerning this issue?
8. When did this occur?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Tax Issues

Allegation: Not in Compliance with IRS rules and Regulations

Priority: "C"

Responsible GWU Department/Person to be notified:

University Compliance Office:
Colin Clasper
Asst. VP, University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Tax Department Services
Person: Jennifer Lopez
Tax Manager
Office Number: 202-994-2547
Office Fax: 202-973-1405
Office Hours: 8:30-5:30
E-mail: lopezj@gwu.edu
Cell Phone: _____
Emergency: _____

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building?
7. Does the University have an existing policy concerning this issue?
8. When did this occur?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Financial Operations & Control Issues

Allegation: Problems with Student Account Billings

Priority: "C"

Responsible GWU Departments/Persons to be notified at the same time:

University Compliance Office:
Colin Clasper
Asst. VP, University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Student Accounts Services
Person: Robert J. Kershner
Director
Office Number: 202-994-8592
Office Fax: 202-994-8968
Office Hours: 8:30-5:30
E-mail: bkersh@gwu.edu
Cell Phone: _____
Emergency: _____

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building?
7. Does the University have an existing policy concerning this issue?
8. When did this occur?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Health and Safety Concerns

Allegation: Violation of OSHA, HPPA, BOCA, NRC, and FDA Regulations

Priority: "A"

Responsible GWU Departments/Persons to be notified at the same time:

PRIMARY

University Compliance Office:
Colin Clasper
Asst. VP for University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30AM to 5:30PM
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Risk Management /Safety
Person: Barry Dempsey
Director, Risk Management
Office Number: 202-994-5537
Office Fax: 202-994-0130
Office Hours: 8:30AM-5:30PM
E-mail: Bdempsey@gwu.edu
Cell Phone: 202-439-3845
Emergency: 410-263-7433

1ST ALTERNATE

University Compliance Office:
Quang Ha
Executive Assistant
Office Number: 202-994-3386
Office Fax: 202-994-3390
Office Hours: 7:30AM to 5:30PM
E-mail: Comply@gwu.edu
Cell Phone:
Home phone: 703-627-4497

Office Name: Risk Management /Safety
Person: Joseph Yohe
Assistant Director, Risk Management
Office Number: 202-994-6947
Office Fax: 202-994-0130
Office Hours: 8:30AM-5:30PM
E-mail: Riskjay@gwu.edu
Cell Phone: 202-439-1650
Home Phone: 703-548-8130

2ND Alternate

University Compliance Office:

Office Number: 202-994-8365
Office Fax: 202-994-3390
Office Hours: 7:30AM to 5:30PM
E-mail: Comply@gwu.edu
Cell Phone:
Home phone:

Office Name: Risk Management /Safety
Person: Sean Yarup
Safety Manager, Risk Management
Office Number: 202-994-6944
Office Fax: 202-994-0130
Office Hours: 8:30AM-5:30PM
E-mail:
Cell Phone: 202-345-2209
Home Phone: 301-330-1332

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: when did it occur, what campus, what building?
7. Does the University have an existing policy concerning this issue?
8. Is your concern associated with your own personal health and safety or work environment?
9. Have you experienced an injury or illness on the job?
10. Is your concern related to a violation of a health and safety, or environmental regulation?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Environmental Concerns

Allegation: Violation of EPA Regulations and Release of Hazardous Materials

Priority: "A"

Responsible GWU Departments/Persons to be notified at the same time:

PRIMARY

University Compliance Office:

Colin Clasper

Asst. VP for University Compliance

Office Number: 202-994-3396

Office Fax: 202-994-3390

Office Hours: 7:30AM to 5:30PM

E-mail: Comply@gwu.edu

Cell Phone: 301-807-6874

Home phone: 301-926-5047

Office Name: Risk Management /Safety

Person: Barry Dempsey

Director, Risk Management

Office Number: 202-994-5537

Office Fax: 202-994-0130

Office Hours: 8:30AM-5:30PM

E-mail: Bdempsey@gwu.edu

Cell Phone: 202-439-3845

Emergency: 410-263-7433

1ST ALTERNATE

University Compliance Office:

Quang Ha

Executive Assistant

Office Number: 202-994-3386

Office Fax: 202-994-3390

Office Hours: 7:30AM to 5:30PM

E-mail: Comply@gwu.edu

Cell Phone:

Home phone: 703-627-4497

Office Name: Risk Management /Safety

Person: Joseph Yohe

Assistant Director, Risk Management

Office Number: 202-994-6947

Office Fax: 202-994-0130

Office Hours: 8:30AM-5:30PM

E-mail: Riskjay@gwu.edu

Cell Phone: 202-439-1650

Home Phone: 703-548-8130

2ND Alternate

University Compliance Office:

Office Number: 202-994-3386

Office Fax: 202-994-3390

Office Hours: 7:30AM to 5:30PM

E-mail: Comply@gwu.edu

Cell Phone:

Home phone:

Office Name: Risk Management /Safety

Person: Sean Yarup

Safety Manager, Risk Management

Office Number: 202-994-6944

Office Fax: 202-994-0130

Office Hours: 8:30AM-5:30PM

E-mail:

Cell Phone: 202-345-2209

Home Phone: 301-330-1332

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: when did it occur, what campus, what building?
7. Do you know what types of materials are involved? Does the University have an existing policy concerning this issue?
8. Is your concern associated with your own personal health and safety or work environment?
9. Have you experienced an injury or illness on the job?
10. Is your concern related to a violation of a health and safety, or environmental regulation?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Workers Compensation Concerns

Allegation: Violation of Workers Compensation Laws

Priority: "B"

Responsible GWU Departments/Persons to be notified at the same time:

PRIMARY

University Compliance Office:
Colin Clasper
Asst. VP for University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30AM to 5:30PM
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Risk Management /Safety
Person: Barry Dempsey
Director, Risk Management
Office Number: 202-994-5537
Office Fax: 202-994-0130
Office Hours: 8:30AM-5:30PM
E-mail: Bdempsey@gwu.edu
Cell Phone: 202-439-3845
Emergency: 410-263-7433

1ST ALTERNATE

University Compliance Office:
Quang Ha
Executive Assistant
Office Number: 202-994-3386
Office Fax: 202-994-3390
Office Hours: 7:30AM to 5:30PM
E-mail: Comply@gwu.edu
Cell Phone:
Home phone: 703-627-4497

Office Name: Risk Management /Safety
Person: Joseph Yohe
Assistant Director, Risk Management
Office Number: 202-994-6947
Office Fax: 202-994-0130
Office Hours: 8:30AM-5:30PM
E-mail: Riskjay@gwu.edu
Cell Phone: 202-439-1650
Home Phone: 703-548-8130

2ND Alternate

University Compliance Office:

Office Number: 202-994-3386
Office Fax: 202-994-3390
Office Hours: 7:30AM to 5:30PM
E-mail: Comply@gwu.edu
Cell Phone:
Home phone:

Office Name: Risk Management /Safety
Person: Sean Yarup
Safety Manager, Risk Management
Office Number: 202-994-6944
Office Fax: 202-994-0130
Office Hours: 8:30AM-5:30PM
E-mail:
Cell Phone: 202-345-2209
Home Phone: 301-330-1332

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: when did it occur, what campus, what building?
7. Does the University have an existing policy concerning this issue?
8. Is your concern associated with your own personal health and safety or work environment?
9. Have you experienced an injury or illness on the job?
10. Is your concern related to a violation of a health and safety, or environmental regulation?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Research/Legal and Regulatory Issues

Allegation: Radiation Safety Violation of NRC or DCRA Regulations

Priority: "A"

Responsible GWU Department/Person to be notified:

PRIMARY

University Compliance Office:

Office Name: Office of Health Research, Compliance and Technology Transfer

Colin Clasper
Asst. VP, University Compliance

Person: Astra Bain-Dowell
Assistant VP for Health Research, Compliance and Technology Transfer

Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu

Office Number: 202-994-2995
Office Fax: 202-994-0465
Office Hours: 8:00-5:30
E-mail: resaxb@gwu.edu
E-mail: bain@gwu.edu
Cell Phone: (703) 405-4533
Home phone: (703) 642-2595

Cell Phone: 301-807-6874
Home phone: 301-926-5047

1st ALTERNATE

University Compliance Office:

Office Name: Office of Health Research, Compliance and Technology Transfer
Person:

Quang Ha
Executive Assistant
Office Number: 202-994-3386
Office Fax: 202-994-3390
Office Hours: 7:30AM to 5:30PM
E-mail: Comply@gwu.edu
Home phone: 703-627-4497

Office Number: 202-994-2995
Office Fax: 202-994-0465
Office Hours: 8:30AM-5:30PM

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building?
7. Does the University have an existing policy concerning this issue?
8. What types of materials are involved and when did it occur?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Research/Legal and Regulatory Issues

Allegation: Human Subject Research Violation of DHHS/OHRP, FDA, and other Federal Regulations pertaining to human subject research

Priority: "A"

Responsible GWU Department/Person to be notified:

PRIMARY

University Compliance Office:

Colin Clasper
Asst. VP, University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu

Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Office of Health Research, Compliance and Technology Transfer

Person: Astra Bain-Dowell
Assistant VP for Health Research, Compliance and Technology Transfer

Office Number: 202-994-2995
Office Fax: 202-994-0465
Office Hours: 8:00-5:30
E-mail: resaxb@gwumc.edu

E-mail: bain@gwu.edu
Cell Phone: (703) 405-4533
Emergency: (703) 64-2595

1st ALTERNATE

University Compliance Office:

Quang Ha
Executive Assistant
Office Number: 202-994-3386
Office Fax: 202-994-3390
Office Hours: 7:30AM to 5:30PM
E-mail: Comply@gwu.edu

Office Name: Office of Health Research, Compliance and Technology Transfer

Person:

Office Number: 202-994-2995
Office Fax: 202-994-0465
Office Hours: 8:30AM-5:30PM

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building
7. Does the University have an existing policy concerning this issue?
8. When did it occur?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: ResearchLegal and Regulatory Issues
Allegation: Laboratory Safety (Medical Research) Violation
Priority: "B"

Responsible GWU Department/Person to be notified:

PRIMARY

University Compliance Office:

Office Name: Office of Health Research, Compliance and Technology Transfer

Person: Colin Clasper

Person: Astra Bain-Dowell

Asst. VP, University Compliance

Office Number: 202-994-3396

Office Number: 202-994-2995

Office Fax: 202-994-3390

Office Fax: 202-994-0465

Office Hours: 7:30 to 5:30

Office Hours: 8:00-5:30

E-mail: Comply@gwu.edu

E-mail: resaxb@gwumc.edu

Email: bain@gwu.edu

Cell Phone: 301-807-6874

Cell Phone: (703) 405-4533

Home phone: 301-926-5047

Home: (703) 642-2595

1st ALTERNATE

University Compliance Office:

Office Name: Office of Health Research, Compliance and Technology Transfer

Quang Ha

Person:

Executive Assistant

Office Number: 202-994-3386

Office Number: 202-994-2995

Office Fax: 202-994-3390

Office Fax: 202-994-0465

Office Hours: 7:30AM to 5:30PM

Office Hours: 8:30AM-5:30PM

E-mail: Comply@gwu.edu

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building?
7. Does the University have an existing policy concerning this issue?
8. When did this occur?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Legal and Regulatory Issues

Allegation: Misconduct In Research Violation of DHHS, FDA, NSF or other Federal Agency Regulations

Priority: "B"

Responsible GWU Department/Person to be notified:

PRIMARY

University Compliance Office:

Person: Colin Clasper

Asst. VP, University Compliance

Office Number: 202-994-3396

Office Fax: 202-994-3390

Office Hours: 7:30 to 5:30

E-mail: Comply@gwu.edu

Cell Phone: 301-807-6874

Home phone: 301-926-5047

Office Name: Office of Health Research, Compliance and Technology Transfer

Person: Frederick Rickles, MD

Associate VP for Health Research, Compliance and Technology Transfer

Office Number: 202-994-2995

Office Fax: 202-994-0465

Office Hours: 8:30-5:30

E-mail: resfr@gwumc.edu

Cell Phone: _____

Emergency: _____

1st ALTERNATE

University Compliance Office:

Quang Ha

Executive Assistant

Office Number: 202-994-3386

Office Fax: 202-994-3390

Office Hours: 7:30AM to 5:30PM

E-mail: Comply@gwu.edu

Office Name: Office of Health Research, Compliance and Technology Transfer

Person:

Office Number: 202-994-2995

Office Fax: 202-994-0465

Office Hours: 8:30AM-5:30PM

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building?
7. Does the University have an existing policy concerning this issue?
8. When did this occur?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Research/Legal and Regulatory Issues

Allegation: Animal Research Violation of NIH, USDA, AAALAC Regulations

Priority: "A"

Responsible GWU Department/Person to be notified:

PRIMARY

University Compliance Office:

Colin Clasper
Asst. VP, University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu

Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Office of Health Research, Compliance and Technology
Transfer

Person: Astra Bain-Dowell
Assistant VP for Health Research, Compliance & Technology Transfer
Office Number: 202-994-2995
Office Fax: 202-994-0465
Office Hours: 8:00-5:30
E-mail: resaxb@gwumc.edu
E-mail: bain@gwu.edu
Cell Phone: (703) 405-4533
Home phone: (703) 642-2595

1st ALTERNATE

University Compliance Office:

Quang Ha
Executive Assistant
Office Number: 202-994-3386
Office Fax: 202-994-3390
Office Hours: 7:30AM to 5:30PM
E-mail: Comply@gwu.edu

Office Name: Office of Health Research, Compliance and Technology
Transfer
Person:

Office Number: 202-994-2995
Office Fax: 202-994-0465
Office Hours: 8:30AM-5:30PM

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building?
7. Does the University have an existing policy concerning this issue?
8. When did this occur?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: NCAA rules
Allegation: Not following NCAA rules
Priority: "C"

Responsible GWU Department/Person to be notified: ATHLETICS

University Compliance Office:	Office Name: Athletics
Colin Clasper	Person: Susie Jones
Asst. VP, University Compliance	Asst Athletic Director/Compliance
Office Number: 202-994-3396	Office Number: 202-994-6282
Office Fax: 202-994-3390	Office Fax: 202-994-6818
Office Hours: 7:30 to 5:30	Office Hours: 8:30-5:30
E-mail: <u>Comply@gwu.edu</u>	E-mail: <u>sjones@gwu.edu</u>
Cell Phone: 301-807-6874	Cell Phone: _____
Home phone: 301-926-5047	Emergency: _____

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building and when?
7. Does the University have an existing policy concerning this issue?
11. Are you knowledgeable about NCAA rules?
12. Why do you believe an NCAA rule has been violated?
13. Specifically what rule was violated?
14. Have you observed this violation yourself or has it been observed by someone else and reported to you?
15. Who do you believe was involved in this rules violation? Name? Title?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Research/Legal and Regulatory Issues

Allegation: Conflict of Interest Violation of DHHS, FDA, NSF or other Federal Agency Regulations

Priority: "B"

Responsible GWU Department/Person to be notified:

University Compliance Office:

Person: Colin Clasper
Asst. VP, University Compliance

Office Number: 202-994-3396

Office Fax: 202-994-3390

Office Hours: 7:30 to 5:30

E-mail: Comply@gwu.edu

Cell Phone: 301-807-6874

Home phone: 301-926-5047

Office Name: Office of Health Research, Compliance and
Technology Transfer

Person: Frederick Rickles, MD
Associate VP for Health Research, Compliance and
Technology Transfer

Office Number: 202-994-2995

Office Fax: 202-994-0465

Office Hours: 8:30-5:30

E-mail: resfr@gwumc.edu

Cell Phone: _____

Emergency: _____

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building?
7. Does the University have an existing policy concerning this issue?
8. When did this occur?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Security Concerns

Allegation: Threats of Immediate Violence and Physical Violence

Priority: "A"

Responsible GWU Department/Person to be notified:

PRIMARY

University Compliance Office:
Colin Clasper
Asst. VP, University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: University Police Department
Person: James Isom
Assistant Director
Office Number: 202-994-4533
Office Fax: 202-994-6948
Office Hours: 8:00-5:00
E-mail: jisom@upd.gwu.edu
Cell Phone: (202) 438-6208
emergency line: 202-994-6111

1st ALTERNATE

University Compliance Office:
Quang Ha
Executive Assistant
Office Number: 202-994-3386
Office Fax: 202-994-3390
Office Hours: 7:30AM to 5:30PM
E-mail: Comply@gwu.edu

Office Name: University Police Department
Person: Anthony RoccoGrande
Associate Director
Office Number: 202-994-9149
Office Fax: 202-994-6948
Office Hours: 8:30AM-5:00PM
E-mail: arg@upd.gwu.edu
Cell phone: 202-439-8218
Emergency Number: 202-994-6111

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building, what room?
7. Who are the persons involved (names) and when did it happen?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Security Concerns

Allegation: Alcohol and Drug Use

Priority: "B"

Responsible GWU Department/Person to be notified:

PRIMARY

University Compliance Office:
Colin Clasper
Asst. VP, University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: University Police Department
Person: James Isom
Assistant Director
Office Number: 202-994-4533
Office Fax: 202-994-6948
Office Hours: 8:00-5:00
E-mail: jisom@upd.gwu.edu
Cell Phone: (202) 438-6208
emergency line: 202-994-6111

1st ALTERNATE

University Compliance Office:
Quang Ha
Executive Assistant
Office Number: 202-994-3386
Office Fax: 202-994-3390
Office Hours: 7:30AM to 5:30PM
E-mail: Comply@gwu.edu

Office Name: University Police Department
Person: Anthony RoccoGrande
Associate Director
Office Number: 202-994-9149
Office Fax: 202-994-6948
Office Hours: 8:30AM-5:00PM
E-mail: arg@upd.gwu.edu
Cell phone: 202-439-8218
Emergency Number: 202-994-6111

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building, what room?
7. Who are the persons involved (names) and when did it happen?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: EEO/EEA/Diversity Issues

Allegation: Discrimination

Priority: "C"

Responsible GWU Department/Person to be notified:

PRIMARY

University Compliance Office:
Colin Clasper
Asst. VP, University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Equal Employment Activities
Person: Cynthia Richardson-Crooks
Director
Office Number: 202-994-9656
Office Fax: 202-994-9658
Office Hours: 8:30-5:30
E-mail: crichard@gwu.edu
Cell Phone:
Home phone:

1st ALTERNATE

University Compliance Office:
Quang Ha
Executive Assistant
Office Number: 202-994-3386
Office Fax: 202-994-3390
Office Hours: 7:30AM to 5:30PM
E-mail: Comply@gwu.edu

Office Name:
Person:
Office Number: 202-994-9656
Office Fax: 202-994-9658
Office Hours: 8:30AM-5:30PM
E-mail:
Cell phone:
Home Phone:

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Are you willing to provide your name and telephone number or do you want to stay anonymous?
2. Please describe what happened?
3. Who was involved and was anyone else present?
4. How are you being treated differently? Do you think this treatment is due to; a.) Race, b.) Sex, c.) National Origin, d.) religion, e.) Disability, f.) Veteran Status, g.) Age, h.) color or i.) marital status?
5. Have you reported this to your supervisor or their supervisor? When did you report this, how and what happened?
6. Did you report this to the University's established discrimination compliance organization?
7. Where is this occurring; what building and campus?
8. What is the name of the department involved?
9. Have you talked about this to anyone else?
10. Do you have any other issues you want to report?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Human Resource Issues

Allegation: Sexual Harrasment

Priority: "C"

Responsible GWU Department/Person to be notified:

PRIMARY

University Compliance Office:

Colin Clasper

Asst. VP, University Compliance

Office Number: 202-994-3396

Office Fax: 202-994-3390

Office Hours: 7:30 to 5:30

E-mail: Comply@gwu.edu

Cell Phone: 301-807-6874

Home phone: 301-926-5047

Office Name: VP & General Counsels Office

Person: Sarah Mulkern

Assistant General Counsel

Office Number: 202-994-6503

Office Fax: 202-994-4640

Office Hours: 8:30-5:30

E-mail: Smulkern@gwu.edu

Cell Phone:

Home phone:

1st ALTERNATE

University Compliance Office:

Quang Ha

Executive Assistant

Office Number: 202-994-3386

Office Fax: 202-994-3390

Office Hours: 7:30AM to 5:30PM

E-mail: Comply@gwu.edu

Office Name:

Person:

Office Number: 202-994-

Office Fax: 202-994-

Office Hours: 8:30AM-5:30PM

E-mail:

Cell phone:

Home Phone:

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Human Resource Issues

Allegation: Violation of Employment Laws/Regulations or University Policies

Priority: "C"

Responsible GWU Department/Person to be notified:

PRIMARY

University Compliance Office:
Colin Clasper
Asst. VP, University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Employee Relations
Person: Deborah McDonald
Manager
Office Number: 202-994-9611
Office Fax: 202-994-
Office Hours: 8:30-5:30
E-mail: dmdon@gwu.edu
Cell Phone:
Home phone:

1st ALTERNATE

University Compliance Office:
Quang Ha
Executive Assistant
Office Number: 202-994-3386
Office Fax: 202-994-3390
Office Hours: 7:30AM to 5:30PM
E-mail: Qha@gwu.edu

Office Name:
Person:
Office Number: 202-994-
Office Fax: 202-994-
Office Hours: 8:30AM-5:30PM
E-mail:
Cell phone:
Home Phone:

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Are you willing to provide your name, department, and telephone number? If yes, can this information be shared with others?
2. Please describe what happened, who was involved and who was present?
3. Have you reported this to your supervisor, their supervisor or anyone else? Who did you report this to, how and what happened?
4. Have you consulted with the University's Employee Relation's Department?
5. Who else have you talked to about this issue?
6. What is the name of the department involved?
7. Has this been reported to any other organization: Campus Police, etc.?
8. Where are these issues occurring; what building, campus, room and department?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Student Financial Aid
Allegation: Not complying with Federal aid regulation
Priority: C

Responsible GWU Department/Person to be notified:

University Compliance Office:	Office Name: <u>Office of Student Financial Assistance</u>
Colin Clasper	Person: <u>Ruth Hoch</u>
Asst. VP for University Compliance	Senior Assistant Director
Office Number: 202-994-3396	Office Number: <u>202-994-1574</u>
Office Fax: 202-994-3390	Office Fax: <u>202-994-0906</u>
Office Hours: 7:30 to 5:30	Office Hours: <u>8:30 to 5:30</u>
E-mail: <u>Comply@gwu.edu</u>	E-mail: <u>rhoch@gwu.edu</u>
Cell Phone: 301-807-6874	Cell Phone: <u>NA</u>
Home phone: 301-926-5047	Emergency: <u>NA</u>

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building?
7. Does the University have an existing policy concerning this issue?
8. When did this occur?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Information Security Issue

Allegation: Critical University System being hacked or compromised (Oracle, Banner, e-mail, www.gwu.edu)

Priority: "A"

Responsible GWU Department/Person to be notified:

PRIMARY

University Compliance Office:
Colin Clasper
Asst. VP for University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Information Security
Person: Krizi Trivisani
Information Security Officer
Office Number: 202-994-7803
Office Fax: 202-994-1746
Office Hours: 8:30 to 5:30
E-mail: Krizi@gwu.edu
Cell Phone: 202-345-2182
Emergency: _____

SECONDARY

University Compliance Office:
Quang Ha
Administrative Assistant
Office Number: 202-994-3386
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone:
Home phone:

Office Name: Information Security
Person: Amy Hennings
Network Security Systems Engineer
Office Number: 202-994-9586
Office Fax: 202-994-1746
Office Hours: 8:30 to 5:30
E-mail: Hennings@gwu.edu
Cell Phone: 202-345-2185
Emergency: _____

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments (IT Help Desk at 994-5530) to report this issue? Has this been reported before, to whom, how, when and what happened?
3. What is the system/applications name, IP address, MAC address, log or event that led to the caller believing that the system has been compromised
4. Do you know who is involved in the hacking?
5. Where are the issues occurring: what campus, what building?
6. When did this occur?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Information Security Issue

Allegation: Inappropriate Disclosure or Use of Confidential GW Information

Priority: "C"

Responsible GWU Department/Person to be notified:

PRIMARY

University Compliance Office:
Colin Clasper
Asst. VP for University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Information Security Office
Person: Krizi Trivisani
Information Security Officer
Office Number: 202-994-7803
Office Fax: 202-994-1746
Office Hours: 8:30 to 5:30
E-mail: Krizi@gwu.edu
Cell Phone: 202-345-2182
Emergency: _____

SECONDARY

University Compliance Office:
Quang Ha
Administrative Assistant
Office Number: 202-994-3386
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone:
Home phone:

Office Name: Information Security Office
Person: Amy Hennings
Network Security Systems Engineer
Office Number: 202-994-9586
Office Fax: 202-994-1746
Office Hours: 8:30 to 5:30
E-mail: Hennings@gwu.edu
Cell Phone: 202-345-2185
Emergency: _____

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments (IT Help Desk at 994-5530) to report this issue? Has this been reported before, to whom, how, when and what happened?
3. What is the system/applications name and what information has been disclosed or used?
4. Do you know who disclosed the information and to whom it was disclosed?
5. If the information was disclosed via email or other written correspondence, can you fax or forward a copy?
6. When did this occur?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Information Security Issue

Allegation: General Violations of University Information Security Policies

Priority: "C"

Responsible GWU Department/Person to be notified:

PRIMARY

University Compliance Office:
Colin Clasper
Asst. VP for University Compliance
Office Number: 202-994-3396
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone: 301-807-6874
Home phone: 301-926-5047

Office Name: Information Security Office
Person: Krizi Trivisani
Information Security Officer
Office Number: 202-994-7803
Office Fax: 202-994-1746
Office Hours: 8:30 to 5:30
E-mail: Krizi@gwu.edu
Cell Phone: 202-345-2182
Emergency: _____

SECONDARY

University Compliance Office:
Quang Ha
Administrative Assistant
Office Number: 202-994-3386
Office Fax: 202-994-3390
Office Hours: 7:30 to 5:30
E-mail: Comply@gwu.edu
Cell Phone:
Home phone:

Office Name: Information Security Office
Person: Amy Hennings
Network Security Systems Engineer
Office Number: 202-994-9586
Office Fax: 202-994-1746
Office Hours: 8:30 to 5:30
E-mail: Hennings@gwu.edu
Cell Phone: 202-345-2185
Emergency: _____

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments (IT Help Desk at 994-5530) to report this issue? Has this been reported before, to whom, how, when and what happened?
3. What policy is being violated?
4. Who is violating the policy?
5. What is the systems/applications name, IP address, MAC address, log or event that led to the caller believing that a policy had been violated?
6. When did this occur?

Pinkertons Alert Line (Regulatory Compliance Help and Referral Line) Builder Information

Allegation Class: Privacy

Allegation: Disclosure of Protected Health Information

Priority: C

Responsible GWU Department/Person to be notified:

University Compliance Office:

Colin Clasper

Asst. VP for University Compliance

Office Number: 202-994-3396

Office Fax: 202-994-3390

Office Hours: 7:30 to 5:30

E-mail: Comply@gwu.edu

Cell Phone: 301-807-6874

Home phone: 301-926-5047

Office Name: _____

Person: _____

Office Number: _____

Office Fax: _____

Office Hours: _____

E-mail: _____

Cell Phone: _____

Emergency: _____

The University's Compliance Office will respond back to Pinkertons.

Additional Questions to be asked?

1. Have you reported this to your supervisor or their supervisor?
2. Have you used the existing University reporting structures and departments to report this issue?
3. If this has been reported before, to whom, how, when and what happened?
4. What is the department name involved in the reportable issue?
5. What is the department's organization code (Oracle/Banner)?
6. Where are the issues occurring: what campus, what building
7. Does the University have an existing policy concerning this issue?